DOCUMENT RESUME

ED 314 133 JC 900 065

AUTHOR Ryan, G. Jeremiah, Ed.; Smith, Nanette J., Ed.
TITLE Marketing and Development for Community Colleges.
INSTITUTION Council for Advancement and Support of Education, Washington, D.C.
REPORT NO ISBN-0-89964-270-5
PUB DATE 89
NOTE 253p.
AVAILABLE FROM CASE Publications Order Department, 80 South Early Street, Alexandria, VA 22304 ($24.50).
PUB TYPE Books (010) -- Reports - Descriptive (141) -- Viewpoints (120)

EDRS PRICE MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS *College Administration; *College Planning; Community Colleges; *Educational Resources; Financial Support; Fund Raising; *Institutional Advancement; *Marketing; Organizational Effectiveness; Organizational Objectives; Two Year Colleges

ABSTRACT

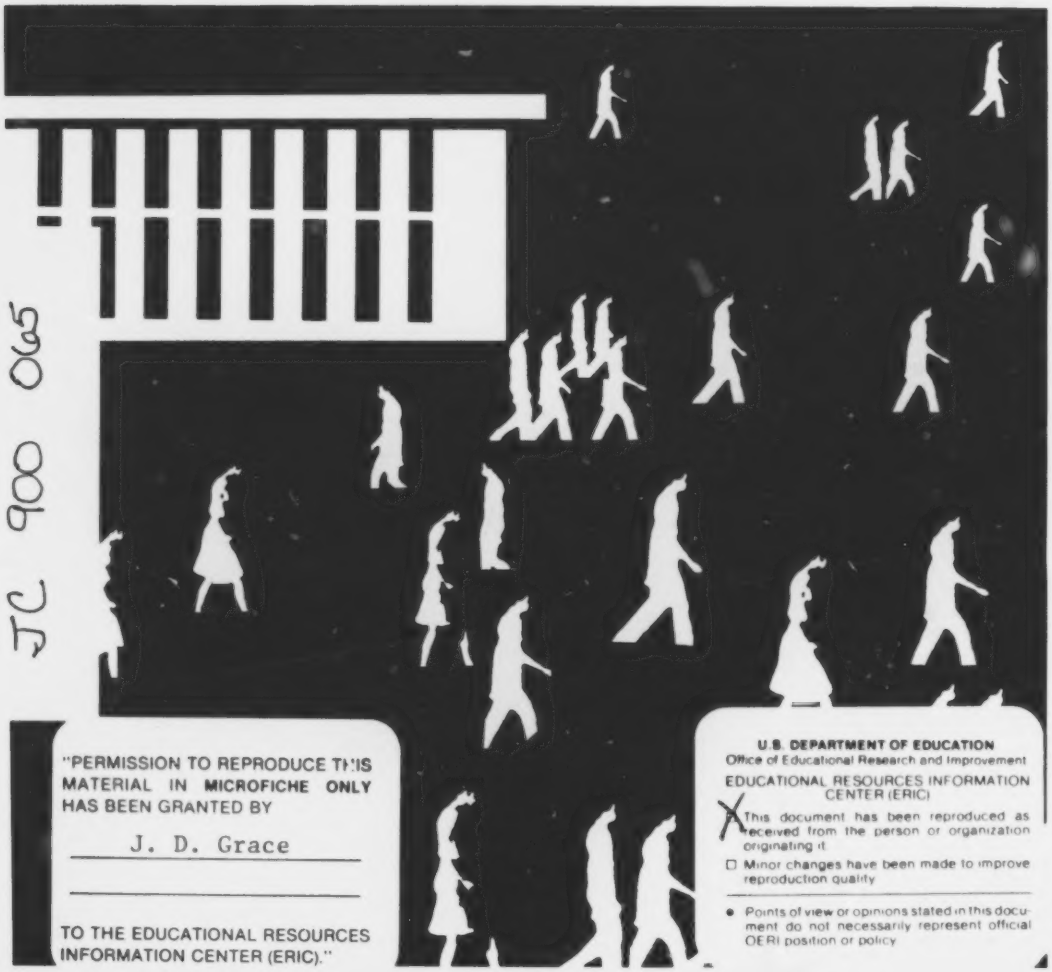
This collection of 23 essays provides an overview of current marketing and resource development practices in community colleges. The first of the five sections in the book, "Organizing for Successful Advancement," contains chapters on "Organization of the Successful Institutional Office," by Nanette J. Smith; "The President and Institutional Advancement," by David Gunning Robinson; "The Modern Chief Advancement Officer," by G. Jeremiah Ryan; and "Ethics and Values in Institutional Advancement," by John R. Hall. Section 2, entitled "Planning for Institutional Effectiveness," contains "Market Research," by Richard Fonte; "Institutional Research," by Webster B. Trammell, and "Strategic Planning," by Byron N. McClenney. Focusing on "Marketing Today's Community College," section 3 contains the following chapters: "The Marketing Plan," by Brice W. Harris; "Creating Image and Identity," by Barbara L. Wilcox and Susan E. Gorski; "Public Relations," by Johanna H. Hudson; "Publications: Making a Lasting Impression," by Marlene Ledbetter; "Advertising," by Robert Lacell; "Marketing and Retention in Enrollment Management," by Steven W. Jones; and "Internal Communications," by William W. Lace. Section 4, "Developing Resources for the Community College," contains "The Development Plan," by Barbara J. Keener; "Private Fund Raising," by Danette L. McNamara; "Foundations," by Kenneth B. Woodbury, Jr.; "Relations with the Corporate Sector," by Marlene W. Camper and others; "Alumni Programs," by Richard J. Pokrass; "Donor Research and Records," by Martha J. Kanagy; "Public Sector Grants," by David B. Canine; "Performance Contracting," by Stephen R. Wise and Jeffrey G. Oliver; and "Government Relations: A Necessity, Not an Option," by G. Jeremiah Ryan. Section 5, compiled by Judy Diane Grace, lists special resources for the advancement professional. (JMC)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED314133

Marketing and Development For Community Colleges

G. Jeremiah Ryan and Nanette J. Smith, Editors



JC 900 065

"PERMISSION TO REPRODUCE THIS MATERIAL IN MICROFICHE ONLY HAS BEEN GRANTED BY

J. D. Grace

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

X This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

Council for Advancement and Support of Education

Marketing and Development For Community Colleges

G. Jeremiah Ryan and Nanette J. Smith

Council for Advancement and Support of Education

© 1989 by Council for Advancement and Support of Education

ISBN 0-89964-270-5

Printed in the United States of America.

In 1974, the American Alumni Council (founded in 1913) and the American College Public Relations Association (founded in 1917) merged to become the Council for Advancement and Support of Education (CASE).

Today, approximately 2,900 colleges, universities, and independent elementary and secondary schools in the U.S. and 20 countries belong to CASE. This makes ours the largest nonprofit 501(c)(3) education association in terms of institutional membership. Representing the member institutions in CASE are more than 13,500 individual professionals in institutional advancement.

Nonprofit education-related organizations such as hospitals, museums, libraries, cultural or performing arts groups, public radio and television stations, or foundations established for public elementary and secondary schools may affiliate with CASE as Educational Associates. Commercial firms that serve the education field may affiliate as Subscribers.

CASE's mission is to advance understanding and support of education for the benefit of society. Central to its mission are its member colleges, universities, and independent schools. CASE fulfills this mission by providing services to beginning, mid-level, and senior advancement professionals; direct services to member institutions; and public affairs programs that bond higher education to the public interest.

CASE offers books, videotapes, and focus issues of the award-winning monthly magazine, CURRENTS, to professionals in institutional advancement. The books cover topics in alumni administration, communications and marketing, fund raising, management, and student recruitment. For a copy of the catalog, RESOURCES, write to the CASE Publications Order Department, 80 South Early Street, Alexandria, VA 22304. For more information about CASE programs and services, call (202) 328-5900.

Cover illustration by Michael David Brown

Council for Advancement and Support of Education
Suite 400, 11 Dupont Circle, Washington, DC 20036

Contents

Foreword i
Gary Quehl

Preface iii
G. Jeremiah Ryan and Nanette J. Smith

Section 1: Organizing for Successful Advancement

1. Organization of the Successful Institutional Office 1
Nanette J. Smith
2. The President and Institutional Advancement 15
David Gunning Robinson
3. The Modern Chief Advancement Officer 23
G. Jeremiah Ryan
4. Ethics and Values in Institutional Advancement 29
John R. Hall

Section 2: Planning for Institutional Effectiveness

5. Market Research 39
Richard Fonte
6. Institutional Research 49
Webster B. Trammell
7. Strategic Planning 57
Byron N. McClenney

Section 3: Marketing Today's Community College

8. The Marketing Plan 67
Brice W. Harris
9. Creating Image and Identity 75
Barbara L. Wilcox and Susan E. Gorski
10. Public Relations 91
Johanna H. Hudson

11. Publications: Making a Lasting Impression 101
Marlene Ledbetter

12. Advertising 111
Robert Lacell

13. Marketing and Retention in Enrollment Management 127
Steven W. Jones

14. Internal Communications 135
William W. Lace

Section 4: Developing Resources for the Community College

15. The Development Plan 149
Barbara J. Keener

16. Private Fund Raising 159
Danette L. McNamara

17. Foundations 171
Kenneth B. Woodbury, Jr.

18. Relations with the Corporate Sector 183
Marlene W. Camper, Paul C. Trautmann, and L. Adina Wiesenfeld

19. Alumni Programs 195
Richard J. Pokrass

20. Donor Research and Records 203
Martha J. Kanagy

21. Public Sector Grants 217
David B. Canine

22. Performance Contracting 227
Stephen R. Wise and Jeffrey G. Oliver

23. Government Relations: A Necessity, Not an Option 235
G. Jeremiah Ryan

Section 5: Special Resources for the Advancement Professional 241
Judy Diane Grace

Figures

1-1. Centralized Model for a Community College Institutional Advancement Program 6

1-2. Noncentralized Model for a Community College Institutional Advancement Program 7

1-3. Typical Model of College Development/Advancement Function (Staff Model) 8

1-4. Typical Model of College Development/Advancement Function (Line Model) 10

5-1. Target Market Analysis, Levels of Research Sophistication 41

5-2. High School Market Share 42

5-3. Geographic Market Share 42

5-4. Market Trends by Area (Full-time Students) 43

8-1. Sample Marketing Activity Chart 71

11-1. Excerpt of Job Detail Report for a Catalog 107

Foreword

The development of community colleges is unique in the history of higher education. The Commission on the Future of Community Colleges summed it up in a 1988 report, *Building Communities: A Vision for a New Century*:

> In 1947, . . . there were 640 junior colleges in the United States enrolling 497,065 college credit students. Today there are 1,224 regionally accredited community, technical, and junior colleges enrolling over five million college credit students, while another four million students are enrolled in non-credit adult and continuing education programs. . . .
>
> Between 1965 and 1975, total enrollment at community, technical, and junior colleges grew by 240 percent. Today, these colleges enroll approximately 43 percent of the nation's undergraduates and 51 percent of all first-time entering freshmen. . . .
>
> Community colleges have become the largest single sector of higher education in the United States . . . (Commission on the Future, 1988).

Marketing and Development for Community Colleges represents CASE's commitment to an expanding role in serving this important higher education constituency. The book surveys the state-of-the-art in institutional planning, marketing, and development strategies targeted toward community and junior colleges.

Each of the contributing authors of this book is an experienced professional with extensive background in the area of specialty described in his or her chapter. Each topic is covered not only as it relates to sound advancement practice but also as it functions uniquely with and for two-year institutions, addressing specific community college needs.

The scope of the book is wide. The five sections cover "Organizing for Successful Advancement," "Planning for Institutional Effectiveness," "Marketing Today's Community College," "Developing Resources for the Community College," and "Special Resources for the Advancement Professional."

Our thanks to the members of the Commission on Two-year Institutions for their input and guidance, and, especially, to the book's co-editors, G.

Jeremiah Ryan, formerly of Monroe Community College and now president of SMG Research, and Nanette J. Smith of Edison Community College. They and the Commission on Two-year Institutions saw the need for this book and have been its guiding spirit throughout. The results of their labors, and those of the colleagues they recruited, bear witness to their dedication and determination.

Gary H. Quehl
President, CASE
November 1989

Reference

Commission on the Future of Community Colleges. *Building Communities: A Vision for a New Century*. Washington, DC: American Association of Community and Junior Colleges, 1988.

Preface

Marketing and Development for Community Colleges resulted from a CASE two-year college workshop held in Alexandria, Virginia, in December 1986. The faculty included both of the editors of this book and some of the authors.

Following the workshop, a number of the faculty members received inquiries from two-year college advancement people from across the nation, requesting copies of papers as well as research results. Several graduate students in higher education programs also requested information, commenting that there did not seem to be a current, comprehensive survey of community college marketing and development practices. Foundations and fund-raising were topics of special interest.

Members of the CASE Commission on Two-year Institutions developed a plan for publishing the collective wisdom and experience of some of the nation's leading community college practitioners in areas covered by institutional advancement. Chapter authors were selected, research and writing progressed, editing was completed, and the book is a reality.

Hundreds of years of aggregate professional experience are represented in the 23 chapters and the special resource section of this book, and we owe a debt of gratitude to all the authors who contributed their time, skill, and experience to bring this volume to members of our profession. It is designed as a survey of current practice in the areas of organization and planning toward marketing and developing resources for today's community colleges.

The book may provide a survey of two-year college institutional advancement for those enrolled in education leadership programs. It can serve as a step-by-step guide for those entering various areas of community college advancement and a review of current practice for experienced advancement professionals.

We dedicate the book to the many veteran practitioners who have inspired us and shared their experience with us over the years, and through their professionalism have helped to advance our uniquely American sector of education.

G. Jeremiah Ryan
Nanette J. Smith
November 1989

Section 1

Organizing for Successful Advancement

Nanette J. Smith

Nanette J. Smith has worked as a two-year college institutional advancement professional for 16 years, the past eight as vice president for development at Edison Community College, Fort Myers, Florida. She administers and supervises college relations, fund raising, grants, publications, media relations, staff and program development, and legislative relations.

A graduate of the University of Florida with an M.A. from the University of South Florida, she devotes much of her energy to the Edison Community College Endowment Corporation, Inc., as executive director. She served on the CASE Advisory Committee that prepared the monograph, *Initiating a Fund-raising Program: A Model for the Community College*, which was funded by the Exxon Education Foundation. A member of the CASE Board of Trustees, she chairs the CASE Commission on Two-year Institutions and is a director of CASE District III. She is a member of the CASE Commission on Research and has served on the faculties of numerous conferences.

With G. Jeremiah Ryan, Smith is co-editor of this book.

Chapter 1

Organization of the Successful Advancement Office

Nanette J. Smith
Vice President for Development
Edison Community College

The concept of institutional advancement as a comprehensive function of higher education administration first emerged at the historic Greenbrier Conference in 1958. The meeting was sponsored by the American College Public Relations Association (ACPRA) and the American Alumni Council (AAC), the two parent organizations of the Council for Advancement and Support of Education (CASE). The conference report strongly endorsed gathering, under one executive office, college external relations functions such as public relations, alumni administration, and fund raising. Since that time, colleges and universities have experimented with hundreds of variations and models to meet the needs of different institutions.

Coincidentally, during the same time period, the two-year college movement was beginning the rapid period of development and expansion that has led to the establishment of more than 1,200 community and junior colleges in the United States today. Two-year colleges were seen as "the people's colleges" with geographic and financial access and community service paramount, and most began with public commitments that enabled them to develop, build, and expand through varying combinations of public funding.

During the 1960s and 1970s, students lined up to enroll: Veterans' benefits paid the bills for many, federal student aid encouraged enrollments, and

guaranteed student loans took care of the rest. State and federal funding for construction, equipment, and innovative programs was readily available. Public funding for higher education generally rose from an average of 30 percent of institutional income in 1960 to more than 50 percent by the mid-1970s; in public institutions such as community colleges, public dollars constituted more than two-thirds of total funding (Fife, 1981).

Not until the 1970s did community colleges generally become aware that "traditional sources of funding" would probably not be adequate to meet college needs during the last part of the century. And during the post-Vietnam era, institutions realized the seemingly endless stream of "traditional" students for which they had prepared might not continue indefinitely. Two-year colleges were among the first to realize the Carnegie Council's projection of a 5 to 15 percent enrollment decline among traditional 18- to 22-year-old students (Carnegie, 1980), while, at the same time, significant increases of older students brought with them "nontraditional" requirements for curriculum and services.

Now, as colleges look toward the 1990s and beyond, students with veterans' financial benefits are a rarity; federal and state funding patterns over the 1980s have resulted in a decrease in available student financial aid. State and federal fiscal priorities have shifted to other sectors of education and to criminal justice, needs of the elderly, and other critical concerns.

At the same time, the demands upon community colleges have vastly increased. Because of soaring costs of undergraduate education in four-year colleges, more students find it financially necessary to look to community colleges for their lower-division work. The institutions are also being pressured by society to fulfill their missions as vehicles for retraining, community economic development, and upward mobility for the educationally and culturally disadvantaged. These realities have taxed available resources and forced community colleges to seek new sources of support and community partnerships.

A decade ago the term "marketing" was perceived in most parts of academia as undignified and inappropriate to higher education. Fund raising was generally cloaked in the euphemism "resource development." Now two-year colleges are becoming more active in the advancement business. Institutions are actively recruiting students, securing new markets, and seeking new ways to meet emerging capital and operating needs (Luck and Tolle, 1978).

Today two-year colleges provide eager audiences at conferences on institutional advancement. College foundations that serve as vehicles for private fund raising are increasing rapidly among community colleges. Professionals with expertise in putting together marketing plans or forming college foundations are in great demand as consultants, speakers, and authors. Two-year college participation in CASE programs has increased 160 percent during the 1980s.

Concrete evidence of this growing interest is found in the 1988 report of the Council for Aid to Education (CFAE), which indicates that during 1987-88 two-year public colleges reported an increase of 26 percent in private funds

generated over the previous year. This makes community colleges the fastest-growing sector of higher education in private resource development.

The elements of advancement

Institutional advancement is, by definition, a total program to foster understanding and support for a college or university (Muller, 1977, 1986). Richards and Sherratt (1981) include five major elements under the umbrella of a coordinated advancement program: fund raising, public relations, internal and external communications, government relations, and alumni relations.

In a survey of successful two-year college advancement programs, college relations (also called institutional or public relations) is incorporated as a part of the comprehensive advancement function in more than two-thirds of the institutions (Smith, 1986). This follows the philosophy that cooperation and collaboration between institutional relations and resource development areas are essential to the success of both. An effective PR program is the sine qua non of successful fund raising, and good PR is one of the invaluable by-products of a good fund-raising program. To separate the functions of marketing, publications, PR, and fund raising is to fragment institutional resources and minimize the benefits that can be gained through the interaction of these programs.

Marketing fund-raising programs is vital; here close cooperation and a daily working relationship with college relations become crucial. Donor recognition frequently requires publicity. With local newspapers most often becoming parts of large national publishing chains and losing local news space, colleges are no longer able to depend on the daily paper to publicize even major gifts or special events. Working with college publications to feature news of donors and new programs is essential to creating and maintaining a favorable donor climate.

Conversely, the good will generated by a good donor relations program can create a tremendously positive climate for student recruitment and community relations (Slabaugh, 1981). Individuals and businesses who have positive experiences as donors of student aid or academic program enhancement are among the best emissaries of good will for the institution and are in positions to cement good relations between the college and community leaders and opinion makers.

Institutional advancement at two-year colleges frequently includes alumni and parent relations; institutional areas such as research, planning, staff and program development; public sector relations as in legislative affairs and government relations; resource development such as public and private sector grants and contracts; and such public relations functions as publications, news media relations, and special events.

Models for advancement

More and more colleges are looking toward professional organizations such as CASE and reports such as those of CFAE for help. Advancement professionals who have published articles, participated in national programs, or have successful endowment programs receive inquiries from every corner of the nation requesting advice, references, organizational strategies, and keys to success.

A typical caller has been delegated, by the college trustees or the president, the responsibility of organizing a development department or advancement office. His or her first questions are where to start, how to get organized, and what functions to include.

There are almost as many organizational variations in two-year college advancement programs as there are actual programs. Institutional size, college location, competition, and market all bear on the decision as to how to organize.

Shea (1986) describes two basic organizational structures:

- **centralized,** in which functions traditionally considered "advancement" or "development" are grouped under one supervisor who reports to the president (Figure 1-1), and
- **noncentralized,** in which the functions may be spread over several other areas of the institution or may have four or more administrators reporting to the president or designees (Figure 1-2).

In the late 1960s, the centralized model was the favorite for colleges and universities (Leslie, 1969). Today, 20 years later, this organization, in which the president delegates to a chief advancement officer the full responsibility for a wide range of activities, is still the most common (Shea, 1986). In a recent survey of successful two-year college advancement programs, the centralized structure prevailed, although one-fourth of the colleges indicated that two or more of the advancement components reported directly to the president through separate director-level professionals (Smith, 1986).

Placing the advancement function

There are also two major models for the placement of institutional advancement within the institution—the staff model and the line model. Each of these may be either centralized or noncentralized. The staff model (Figure 1-3) is the outgrowth of the traditional philosophy that the president of the college is the chief advancement officer (Persons, 1946; Fisher, 1980). In the staff model, the advancement function is viewed as an adjunct of the president's staff to implement the president's policy.

The institutional advancement function cannot operate effectively as an adjunct to the rest of the campus enterprise, but only as an integral part of it (Muller, 1986). The college needs to view the advancement function as part of the mainstream of college life, with support of other areas of the institution

essential to its success. Advancement officers should be professionals in highly specialized areas; they should be creative innovators, competent to collaborate in the total governance of the institution.

The line model (Figure 1-4) illustrates this philosophy; the advancement function is placed on par with other essential college functions. The usual line model includes four executive officers, generally vice presidents, who head the academic, student services, administrative services, and advancement functions. This model affirms that the institution considers advancement an integral component of college operation and not merely an accessory. It's interesting to note that private two-year colleges, to which institutional reputation and private funding are most critical for continuing existence, have pioneered in this model.

One of the greatest advantages accruing to the institution through the line model is the full and smooth flow of information to and from the advancement area. By interacting regularly through a peer relationship, the chief advancement officer can serve as a resource for other area heads, continuously feeding information from the community and from donors, and suggesting ways in which advancement can be used to address institutional concerns. By the same token, the advancement officer is alerted to priorities and issues that may be able to be addressed or dealt with through the various advancement functions.

When a community college is designing an organizational model, provision should be made for continuous and adequate planning, communication, and motivation, both within the advancement area and within the institution (Duffy, 1979). The centralized line model offers optimum opportunities to integrate these elements fully for the mutual benefit of the advancement area and the institution.

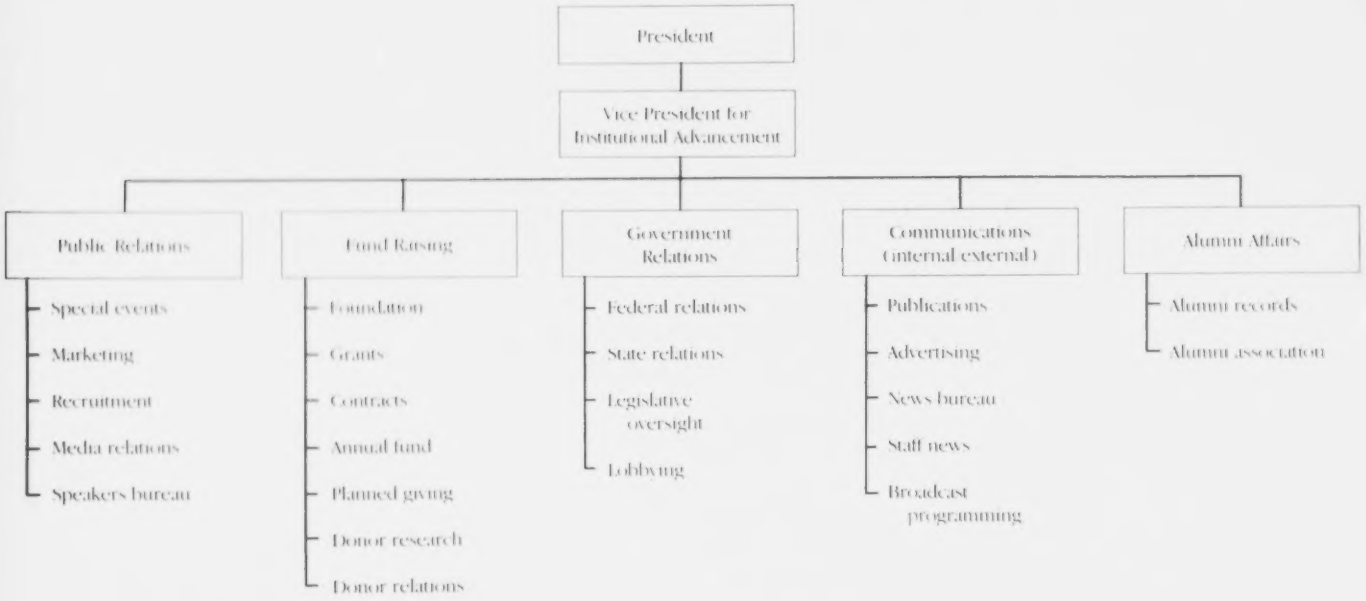
Staffing for advancement

Leslie's study (1969) cautions that the staff should not be spread so thin that effective impact will be jeopardized; he recommends a minimum of three professional staff for an effective advancement program.

In two-year colleges, the number of staff is apparently not of itself a predictor of success of the advancement program (Smith, 1986). The survey indicates that staffing of advancement offices varies considerably and seems to be correlated more closely to the size of the institutions than to the success of programs.

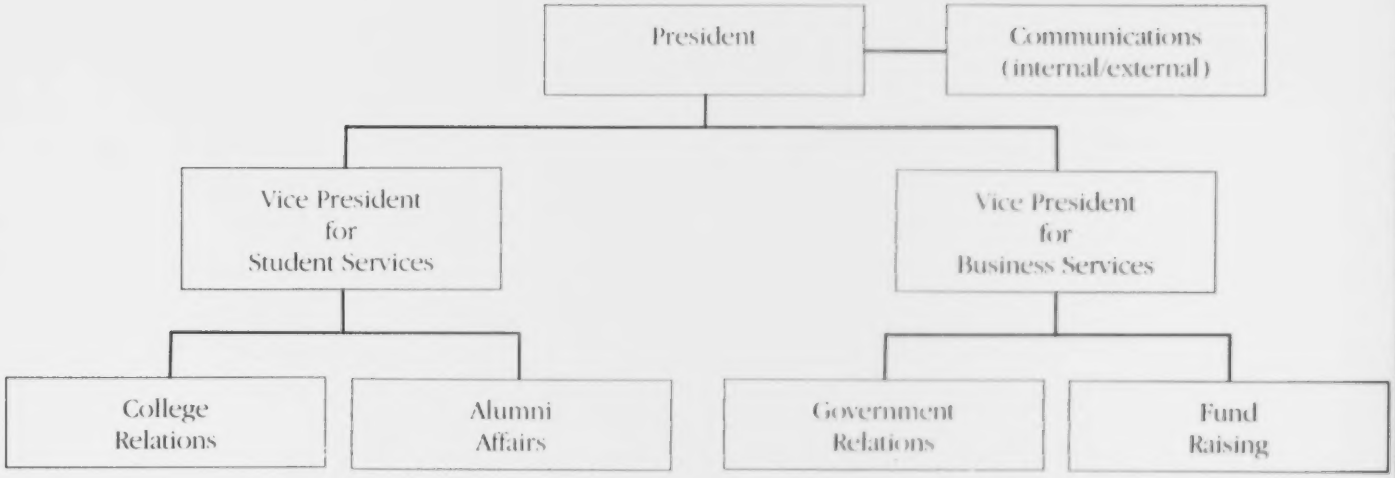
Small colleges surveyed (those enrolling fewer than 7,000) were more likely to have comprehensive advancement offices with an average of 3.2 professionals responsible for institutional relations, public and private grants, alumni/parents, the college foundation, and generally at least one other area. Support staff averaged 2.8 clerical employees plus student help. Large colleges typically

Figure 1-1: Centralized Model for a Community College Institutional Advancement Program



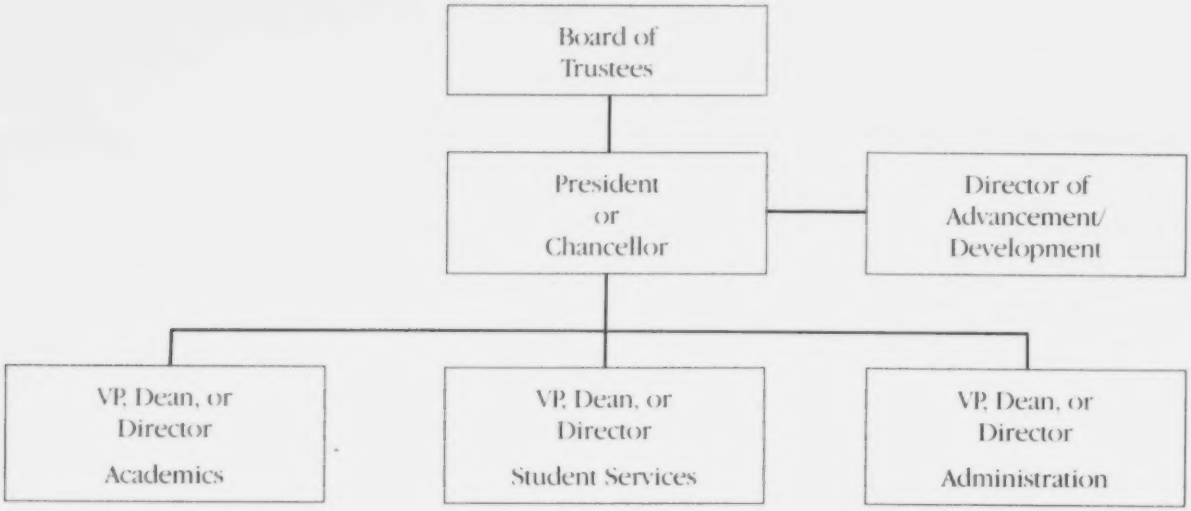
In this model, all elements traditionally associated with institutional advancement function cooperatively under one college executive officer who reports directly to the president.

Figure 1-2: Noncentralized Model for a Community College Institutional Advancement Program



The noncentralized model disperses functions traditionally considered as institutional advancement functions across several areas of the college, with several responsible supervisors. The major disadvantage is the difficulty of coordination and information-sharing and loss of benefits that could be accrued by cooperative planning and projects.

Figure 1-3: Typical Model of College Development/Advancement Function (Staff Model)



This model takes its authority from the truism that the president of the institution is its chief development officer and, therefore, that the development/advancement/college relations function is his or her function which is delegated to staff for implementation.

In some colleges surveyed, the college relations, advancement, and foundation functions are all separate staff positions/functions operating in this manner.

In several church-affiliated colleges, "church relations" is a part of the title of the chief advancement/development officer.

reported one or more professionals, usually a director and/or assistant director for each major function. Each professional in these institutions is typically backed by at least one support staff member or the equivalent.

Success—if judged by the number of publication or graphics awards won, success of student recruitment, dollars raised, or amount of invested endowment—does not necessarily correlate positively with the size of the advancement operations or the number of staff members. Some of the more successful efforts, judged by any of these measures, are "small shops" with innovative operations and creative programs.

Achieving and maintaining success

Three of the factors most often associated with successful institutional advancement programs are:

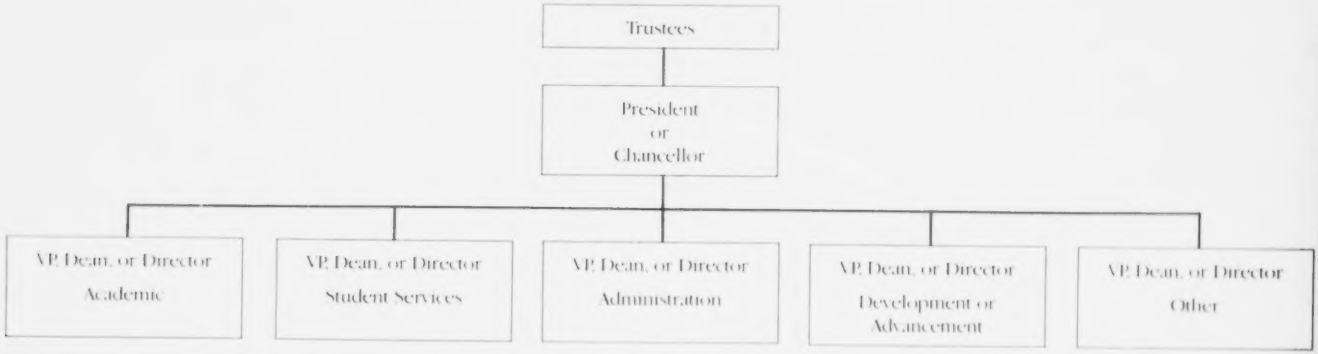
- positive attitude and active support of the president (Muller, 1977, 1986; McNamara, 1988);
- reputation of the institution; and
- creative, qualified professional leadership.

The president's commitment to the advancement program must extend to advocating on its behalf at budget time and seeing that adequate physical facilities and personnel are provided. The advancement office that operates on what's left of the budget, housed in a closet with obsolete equipment, is likely to deliver a product that reflects its second-class citizenship. The office that is to be entrusted with the institution's image and message—and with donors' dollars—needs to reflect the institution's image of quality and integrity. When fund-raising success is an objective, institutions should consider recent studies indicating that a college's development expenditures are strongly associated with fund-raising outcomes (Loessin and others, 1988).

Institutional reputation is a dynamic, subtly ever-changing reflection of the interplay of college personnel and programs with students and community. Effective institutional advancement provides for continuing enhancement of the reputation by enlisting public opinion and resources in support of the college's mission, quality, and accessibility.

The quality and adequacy of professional leadership will finally determine the success of the advancement program. Seeking the best-qualified persons, grounded in the techniques of advancement and rooted in community college philosophy, is the first step toward achieving quality in the advancement program. The institution that seeks to build a competent staff, be it modest or extensive, must recognize that advancement is a highly specialized field requiring education, specialized technical abilities, creativity, human relations skills, and great energy. Providing and maintaining this leadership is one of the initial commitments the institution and its top officials must make.

Figure 1-4: Typical Model of College Development/Advancement Function (Line Model)


Trustees
President or Chancellor
VP, Dean, or Director Academic
VP, Dean, or Director Student Services
VP, Dean, or Director Administration
VP, Dean, or Director Development or Advancement
VP, Dean, or Director Other

This model assumes that advancement is an essential partner with the traditional academic/student/administrative branches of college administration; thus, it has authority and resources along with its peers.

CASE is publishing this book with the hope that it will help community colleges structure and maintain successful institutional advancement programs. The chapters focus on how the various issues affect the modern community college and are intended to assist college presidents and trustees as they plan marketing and development programs for their institutions. The book can also be used as a survey text for students of higher education administration, as a basic resource for new advancement practitioners, and as a reference for senior professionals.

As with any academic discipline, state-of-the-art information is the key to success. Institutions will benefit from their marketing and development programs to the extent that they invest in maintaining currency of their skills, knowledge, and technology. Reading and study are critical elements, but to maintain the competitive edge necessary for effective marketing and development, constant updating is vital. Institutions must budget the funds and the time for the president and advancement personnel to participate each year in activities that keep them in touch with top professionals in advancement, current research, emerging techniques, and new strategies.

The final section of this book lists national organizations, higher education programs, and other resources that can provide these types of experiences, which will help two-year college professionals organize and maintain successful advancement programs.

References

Carnegie Council on Policy Studies in Higher Education. *Three Thousand Futures: The Next Twenty Years for Higher Education.* San Francisco: Jossey-Bass, 1980.

Council for Aid to Education. *Voluntary Support of Education, 1986-87.* New York: Council for Aid to Education, 1988.

Duffy, E.F. "Evaluative Criteria for Community College Foundations." Doctoral dissertation, University of Florida, 1979.

Fife, Jonathan D. "Foreword" in Michael D. Richards and Gerald D. Sherratt, *Institutional Advancement Strategies in Hard Times.* AAHE-ERIC/Higher Education Research Report No. 2. Washington, DC: American Association for Higher Education, 1981.

Fisher, James L., ed. *Presidential Leadership in Advancement Activities.* New Directions for Institutional Advancement No. 8. San Francisco: Jossey-Bass, 1980.

Leslie, John W. *Focus on Understanding and Support: A Study in College Management.* Washington, DC: American College Public Relations Association, 1969.

Loessin, Bruce A., Margaret A. Duronio, and Georgina L. Borton. "Understanding Fund-Raising Effectiveness in Higher Education: Laying a Foundation." Exxon Research Project Final Report, University of Pittsburgh, 1988.

Luck, M.F., and D.J. Tolle. *Community College Development: Alternative Fund-Raising Strategies.* Indianapolis, IN: R&R Newkirk, 1978.

McNamara, Danette L. "Characteristics of an Effective Two-Year College Private Fund-Raising Program." Doctoral dissertation, Oklahoma State University, 1988.

Muller, Steven. "Prologue: The Definition and Philosophy of Institutional Advancement" in A. Westley Rowland, ed., *Handbook of Institutional Advancement.* San Francisco: Jossey-Bass, 1977; 2nd ed., 1986.

Persons, Christopher E. *Public Relations for Colleges and Universities, A Manual of Practical Procedures.* Palo Alto, CA: Stanford University Press, 1946.

Richards, Michael D., and Gerald D. Sherratt. *Institutional Advancement Strategies in Hard Times.* AAHE-ERIC/Higher Education Research Report No. 2. Washington, DC: American Association for Higher Education, 1981.

Shea, J.M. "Organizational Issues in Designing Advancement Programs," in A. Westley Rowland, ed., *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986.

Slabaugh, Darrell E. "How a College Foundation Can Boost Your Development Effort" in John E. Bennett, ed., *Building Voluntary Support for the Two-year College.* Washington, DC: Council for Advancement and Support of Education, 1981.

Smith, Nanette J. "Organizational Models of Successful Advancement Programs." Presentation at CASE Conference on Advancing Two-year Institutions, December 1986, in Alexandria, Virginia.

David Gunning Robinson

David Gunning Robinson is president of Edison Community College, a comprehensive two-year college serving five counties of southwest Florida from its main campus in Fort Myers and centers in Naples and Port Charlotte. Under his leadership, the college has developed institutional advancement programs and strategies that have become models for other two-year colleges across the nation.

Robinson is a former chairman of the Florida Endowment for the Humanities, the Florida Association of Colleges and Universities, and the Florida League of the Arts. He also served as chairman of the Miami Branch of the Federal Reserve Bank of Atlanta, the first community college president in the U.S. to serve in this capacity. He has been active with the American Association of Community and Junior Colleges, the Southern Association of Colleges and Schools, and numerous community and professional boards and organizations.

Chapter 2

The President and Institutional Advancement

David Gunning Robinson
President
Edison Community College

The president is the chief advancement officer of the community college, just as the president is ultimately in charge of the academic, student development, and administrative services functions of the college. Accepting this basic fact is necessary to an understanding of the president's role in establishing the importance and the status of advancement functions within the college.

The president's involvement in advancement was a relatively new development in the growth years of the public community college movement, although many of the activities now associated with advancement were present in some colleges. The presidents of two-year public sector colleges in the 1950s and 1960s did not generally address institutional advancement as a priority for the following reasons:

1. Competition for students was not critical.
2. The importance of alumni relations was not emphasized.
3. Public funding was adequate, with the federal government contributing generously to capital outlay projects as well as programs.
4. Public relations functions were considered by many to be less than legitimate in public institutions of higher learning.
5. Fund raising was considered to be something only private colleges did.
6. Most community college presidents had little or no expertise in the advancement functions.

The scene changed as society itself changed during the following two decades. In the 1960s, as community colleges began to have greater financial needs and fewer resources, it was necessary that presidents change their thinking about institutional advancement. Some chief executive officers made the adjustment, while others could not. Even today, some community college presidents continue to view advancement as incidental to the prosperity of the college.

The importance of institutional advancement

According to Steven Muller, president of Johns Hopkins University, "The job of institutional advancement is to do all the things necessary to maintain an adequate supply of resources to a college or university" (Muller, 1986). That requires not only a commitment to, but expertise in, the areas of legislative relations, alumni relations, community relations, public information (including printed and electronic media), and fund raising.

Legislative relations. For all public and many private two-year institutions, federal and state funds are lifelines for essential program and capital funding. Because fiscal decisions are made by legislators who are not experts in community college operations, communication between the legislator and the college president is critical. A great deal depends on the legislator's perception of the effectiveness of the chief executive officer. For many legislators, the president *is* the college.

Alumni relations. Relationships with alumni are important at every university and college, public or private. Community colleges continue to consider the question of how to create and maintain contact with alumni, and, in fact, just who the alumni of a two-year college are—should the college consider as alumni only graduates or everyone who ever took a course?

Because of their unique mission to the community, community colleges can consider the entire community to be constituents and, therefore, alumni. Whatever his or her philosophy and degree of participation in the alumni relations program, the community college president must never lose sight of the importance of maintaining contact with those who have had prior service from the college.

Community relations. During the 1960s and 1970s, many two-year colleges began to use the designation "community college" rather than "junior college." This change of name, they felt, was consistent with the change in relationship between the college and the community and reflected the fact that these colleges now had programs that were community-based. Colleges were reaching out to their districts, identifying community needs and providing programs designed specifically to meet those needs. The college/community relationship was strengthened by advisory committees, informed local governance, and responsive administration.

As a result, the community began to be aware of the college, and the college came to know more about the community. Public relations became an important element of the college, and staff members were assigned specific responsibility for making certain that college/community ties were strengthened.

It must be emphasized that no one component of the college should ever carry the full burden of community relations. No president, board member, faculty or staff member can ever prevent actions on the part of college personnel that reflect poorly on the college. However, a well-developed philosophy and a well-organized approach to community relations can quickly launch an official reaction from the president that will prevent further damage to the college's image and the community's good will.

Public information. The community college is sometimes the best-kept secret in town. Low costs, convenience, small classes, dedicated teaching faculty and staff, student-oriented philosophy—all contribute to making the community college a valuable community resource. Through a well-designed program of printed and electronic materials, the president is able to tell the college's story to its many publics. Whatever goes to the public should reflect the style and integrity of the chief executive officer.

Fund raising. Until recently fund raising was not a part of the training of a community college president; in fact, in the 1960s, most Kellogg Foundation programs to prepare community college presidents did not include fund raising as a part of the curriculum. In the 1980s, development has become an integral part of the curriculum of higher education administration. The programs for national meetings on community colleges reveal that foundations, endowments, and development are important areas of concern. Once all other areas of institutional advancement are in place and functioning well, the community college should begin a vigorous program of fund raising.

Prerequisites for an institutional advancement program

Before the community college president can inaugurate an effective institutional advancement program, he or she must determine that the following conditions are present:

First, there must be evidence that institutional performance is worthy of community support. The adage that "you can't make a silk purse out of a sow's ear" applies to college relations. This is implicit in the current marketing concept, which requires the institution first to develop, test, and perfect its product before it goes into the marketplace for support. The public is interested in improving the quality of higher education and will respond with its support when the college provides a quality educational product or service.

Second, there must be institutional commitment led by the president. This commitment can be manifested in several ways. The chief executive officer

must make the institutional advancement function a part of his or her own program and activity, committing time and energy to the schedule. He or she must demonstrate support of the advancement function through its placement within the institution's organizational structure. And, finally, the president must indicate personal support of the advancement program through a personal financial contribution that sets an example for the trustees and other institutional leaders.

Third, the president must have the confidence of both the college and the community. The office of the president must enjoy the highest credibility of any on campus. The public will base its beliefs about the institution on observations of the commitment and the performance of the president. While a new president may have a prestigious reputation from previous positions, the president who has a long history with the college is more likely to inspire the confidence that leads the public to want to become a part of the institution. A well-known and respected president can be a real asset in all areas of institutional advancement.

The role of the president in advancement

The president must be the initiator of any advancement or development program of a college. He or she must insist on the importance of good internal and external communications. Advancement begins in the president's office. When any member of the public contacts the president's office, whether by phone, by mail, or in person, he or she should receive a friendly and helpful response.

Instituting an office of advancement may prove difficult in a small college, but the president must organize for this function, becoming its chief advocate and supporter. Very often the advancement role is that area least understood by others on campus who may view the office as a "frill" in an already overloaded institutional agenda.

The president's close allegiance to advancement can help promote its value to, and gather support from, other segments of the college. One successful president speculates that "It is probably not an overstatement to suggest that no college or university can afford to have less than 60 percent of the chief executive's time devoted to meaningful development of the institution's major constituencies" (G.T. Smith, 1986).

The president in a modern community college must recognize the responsibilities for advancement and assume its leadership. Every activity of the president should contribute to the advancement of the college and its resources.

Characteristics of the advancement president

The president who cares about the status of institutional advancement must have a "triple-A rating"—he or she must be accessible, available, and active (N.J. Smith, 1986).

The public wants to be able to have *access* to the president. Limiting access to the president by routinely shifting requests, complaints, and issues to other college offices can adversely affect public relations and resource development. The public needs to be heard, even though in many cases the president will refer at least a part of the issue to another appropriate college office. We've all heard stories of the person who wanted to provide a substantial gift or bequest to a college, but was turned away (or turned off) at the president's door. Successful interaction between constituents and the president can lead not only to positive community relations but also to substantial benefits through current and planned gifts.

The president must be *available* to the public. As the chief public relations representative of the college, the president should appear at selected local, state, and national meetings. He or she should represent the college at ceremonies and meetings. In some cases, there is no acceptable substitute for the president; his or her participation symbolizes to many people and groups their importance. The president must be able to distinguish to the best of his or her ability (and sometimes to the limits of the digestive system) which dinners, meetings, and events demand chief executive presence.

The president must also be *active*. A president who spends the majority of the time behind a desk is not an advancement president. Interacting with people in groups or as individuals is required of the president who expects to be successful in advancing the institution.

The president who aspires to a high level of advancement activity must also have a high tolerance for people, must enjoy functioning at all levels of social activity, and must have the talent to identify the resources that can be of most value to the college. Because of a high degree of community involvement, the president is exposed to every facet of the community and can take advantage of that high visibility for the good of the college and the community.

Perhaps the most important characteristic for the advancement president is the ability to be a visionary. In order for a president to use the advancement resources, both the president and the college must have a very clear idea of where the institution is going. Through whatever means—long-range, strategic, or incremental planning; committee structure; board action; or individual leadership—the president is in charge of where the college is going, how it is going to get there, and how it is going to evaluate its progress. The institutional advancement program can—and should—be integral to all three parts of this process.

The president and the advancement organization

Here are some caveats if you are organizing a development or institutional advancement office at your institution.

The chief advancement officer must report to the president. The president knows more than anyone else about the total needs and the status of the college. The advancement office must be informed of the president's agenda concerning everything from federal relations to resource development. Including the advancement professional in the top management structure and meetings brings to the group a better understanding of what advancement can do for all areas of the college, and gives the advancement officer a broad picture of college needs and purposes.

The president must involve the community in the advancement process. A well-chosen foundation or endowment board gives both the college and the community confidence that the resources of the college are being managed well. The people who serve on these boards are not only important in fund raising but provide invaluable linkages between the college and its community constituencies.

The role of the public community college president has been expanded by the many forces and changes in society. The presidency has had to change in response to these new dimensions. Collective negotiations, high technology, diminishing resources, and proactive fund raising have all demanded the attention of the community college president and have compounded the need for additional presidential education.

It is evident from the response of colleges, and the development of institutional advancement as a national two-year college priority, that presidents have accepted the challenge.

References

Muller, Steven. "Prologue: The Definition and Philosophy of Institutional Advancement" in A. Westley Rowland, ed., *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986.

Smith, G.T. "The Chief Executive Officer and Advancement" in A. Westley Rowland, ed., *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986.

Smith, Nanette J. "Organizational Models of Successful Advancement Programs." Presentation at CASE Conference on Advancing Two-year Institutions, December 1986, in Alexandria, Virginia.

G. Jeremiah Ryan

G. Jeremiah Ryan recently became president of SMG Research, a Rochester-based comprehensive market research company. Prior to this position, he served as vice president for institutional advancement at Monroe Community College, heading a professional staff providing traditional marketing and development services for the large metropolitan institution in Rochester, New York. He supervised institutional, educational, and market research; program evaluation; and strategic planning.

Ryan served as chair of the CASE Advisory Committee that prepared the monograph, *Initiating a Fund raising Program: A Model for the Community College*, which was funded by the Exxon Education Foundation. He has been a League Fellow of the League for Innovation in the Community College and a Senior Fellow of the American Association of Community and Junior Colleges. He is active as a writer, lecturer, and consultant for CASE and is active in the National Council for Resource Development and the National Council on Marketing and Public Relations, affiliate councils of AACJC.

With Nanette Smith, Ryan is co-editor of this book.

Chapter 3

The Modern Chief Advancement Officer

G. Jeremiah Ryan
President
SMG Research

> *Clearly, then, the successful community college president . . . will recognize the increasing importance of institutional advancement activities; indeed, the extent of that appreciation will determine whether the community college achieves modest or exceptional results* (Fisher, 1982).

The 1990s promise to be the era when community colleges reach their maximum potential and take the lead in building their communities. The Commission on the Future of Community Colleges, in releasing its 1988 report, cited the building of communities as the natural outcome of the three social functions of community colleges: access, opportunity, and choice. The members of the Commission addressed the issues of curriculum, governance, and finance. Their recommendations, especially in the area of community linkages, now present institutional advancement professionals with the opportunity to play a major role in the future of community colleges (Commission on the Future, 1988).

To create the cooperation necessary to build communities, community college presidents and trustees will be looking for competent chief advancement officers. These chief advancement officers will need to view their responsibilities somewhat differently than they do today. The profession, the position, and the people will need to change.

Although the depiction of the modern advancement officer that appears below will be familiar to a few community college practitioners, it may come as a revelation to many more.

The profession

> Institutional advancement is as vital and as essential as any other major function of a college or university (academics, business, research, student affairs, or health sciences)—in fact, in the long run, it makes possible the maximum achievement of all other functions of an institution (Rowland, 1986).

Modern chief advancement officers will have a global view of advancement and its functions. Even though all the typical advancement activity at the community college may not be in their portfolio, they will strive to influence those areas they do not control.

Today, advancement at a community college most often means publications, public relations, government grants, and, at more and more institutions, private fund raising. Tomorrow the modern advancement unit may include student recruitment, research, planning, government relations, economic development, corporate training, and advertising. The modern advancement unit would include the following three major areas of functions:

- **Marketing:**

community/public relations;
advertising;
media relations;
publications;
special events;
internal communications;
community use of campus; and
student recruitment/enrollment management.

- **Development:**

governmental relations;
grants and contracts;
educational fund raising;
new program development;
economic development and corporate training; and
alumni relations.

- **Research:**

educational research;
institutional research;
market research;

planning research;
program evaluation; and
outcomes assessment.

Although the interrelationship of these three functions is evident, most community colleges have yet to acknowledge the fact by creating an advancement division. The chief advancement officer of the future will need to understand the interrelationships between the functions so that informal alliances can be built. He or she will need to integrate the functions to achieve efficient use of resources and a single institutional image.

Chief advancement officers should begin to think of themselves as educators first and as advancement officers second. They are educators above all—they work in an educational institution, and they cooperate with others to achieve educational goals. As an educator, the chief advancement officer should view all of the activities of the advancement unit from the perspective of how they further the educational goals of the community college. Whenever possible, presidents need to seek chief advancement officers from within academia. Rather than diminishing their effectiveness, the academic experience will enhance the advancement officers' ability to communicate the educational mission of the community college.

As educators, the chief advancement officers should possess the traits of a successful teacher: knowledge, expertise, and experience. They should approach every activity as if they were teaching a class; they should be well prepared; they should be enthusiastic; they should present their messages in a clear, concise, and stimulating manner.

The chief advancement professional should look behind the component functional activities and see the larger goals that the advancement area should strive to attain for the college: positive public image; adequate public support; fair representation in the media; supportive corporate and individual giving; and appropriate student enrollment.

The position

> Most ailing organizations have developed a functional blindness to their own defects. They are not suffering because they cannot see their problems (Gardner, 1984).

Chief advancement officers of the future will spend less time than their predecessors in managing the advancement program of their community college. They will spend more time as institutional leaders, striving to forge the partnerships necessary for the future success of their institutions.

They will spend more time as spokespeople. In this role, they will articulate needs and priorities to the community and represent the institution to major businesses and other important constituencies.

They will be institutional image makers. They will use market research and marketing techniques to represent their community colleges to business people and other community influentials.

Lastly, they will be the college philanthropists. In this role, they will match needs with resources, develop college programs for employee training and development, and guide the distribution of private fund-raising proceeds.

They will be integrators of all advancement activities.

Beyond possessing knowledge and expertise, they will be skilled managers who possess tolerance for ambiguity, willingness to take risk, and the capacity to instill confidence in their leadership skills. They will ensure the efficiency and timeliness of all advancement programs.

The chief advancement officers of tomorrow will be institutional entrepreneurs. They will encourage the capacity for innovation, the use of timely strategic decisions, the development of a customer service orientation, and the integration of advancement functions.

The chief advancement officers will possess the ability to engage in what prominent author Rosabeth Kanter of the Harvard Business School terms "kaleidoscope thinking"—looking at one set of facts and transforming it into multiple ideas and opportunities for action.

It's possible to adapt Abraham Maslow's "Hierarchy of Needs" to create a set of characteristics of the self-actualized chief advancement officer.

The person

> Whoever deserves constant success must change his conduct with the times (Machiavelli, *The Prince*).

It is evident that the modern chief advancement officer will need to have a global perspective of the profession and his or her position within the educational enterprise. The future will also demand that the chief advancement officer possess the personal characteristics of the politician and motivator.

Community colleges are intensely political institutions. The lives of the communities in which they are located revolve around political events. The chief advancement officer will need to be a skilled politician in order to achieve the expectations inherent in his or her position. As a politician, the advancement officer must demonstrate the ability to do the following: recognize opportunities, understand the importance of timing, compromise on the way to achieving victory, anticipate problems before they occur, be patient yet persistent, interpret organizational history, and build coalitions.

The importance of the political role will be matched by the crucial nature of the innovator role. The chief advancement officer will need to develop the following characteristics: a visionary view of the future, a problem-solving

orientation, a willingness to experiment, an impatience with bureaucracy, an encouragement of risk, a trust in subordinates, and a penchant for simplification.

Conclusion

The future of community colleges lies in building and strengthening partnerships with the communities. The future will require a broadened advancement profession and a chief advancement officer who is institutionally important. Community college presidents and trustees must seek and recruit people who possess the personal characteristics of the politician, the expert, and the innovator.

References

Commission on the Future of Community Colleges. *Building Communities: A Vision for a New Century*. Washington, DC: American Association of Community and Junior Colleges, 1988.

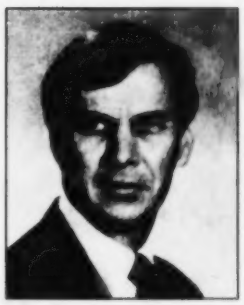
Fisher, James L. "The Two-Year College President and Institutional Advancement" in Peter S. Bryant and Jane A. Johnson, eds., *Advancing the Two-Year College*. New Directions for Institutional Advancement no. 15. San Francisco: Jossey-Bass, 1982.

Gardner, John, quoted in Craig Hickman and Michael Silva, *Creating Excellence*. New York: New American Library, 1984.

Machiavelli, Nicoli. *The Prince*. Chicago: University of Chicago Press, 1985.

Maslow, Abraham. *Toward a Psychology of Being*. Princeton, NJ: D. Van Nostrand, 1962.

A. Westley Rowland, ed. *Handbook of Institutional Advancement*, 2nd ed. San Francisco: Jossey-Bass, 1986.



John R. Hall

John R. Hall is president of Northeastern Christian Junior College, a private two-year college located in the Philadelphia suburb of Villanova. In addition to his background in institutional advancement and higher education administration, Hall is a past member of the Council for Advancement and Support of Education staff in Washington, D.C., where he served as vice president for seven years.

At CASE Hall's areas of specialization included two-year colleges, alumni administration, and management information systems. He was responsible for computerization of the CASE national office and organization of the CASE Summer Intern Program for college and university students. He also started the "National Volunteer of the Year" program. In 1984 he earned the CASE Staff Excellence Award for the highest ratings for conferences under his direction.

Chapter 4

Ethics and Values in Institutional Advancement

John R. Hall
President
Northeastern Christian Junior College

Philanthropic giving is a team process as the grant maker must rely on the integrity and competence of the grantee to attain its charitable objectives; likewise, the grantee relies on the foundations and other sources for the funding of its work (L.E. Lawrence, Manager, Treasury Administration, Beechcraft).

Respected experts and observers of American higher education tell us that the rest of the decade of the '80s and into the '90s are to be among the most difficult years in the history of the enterprise (Fisher, 1985). There is hardly a professional among us who is not fully—and painfully—familiar with the challenges facing us. The available pool of 18-year-olds is in a dramatic state of decline, inflation is always on the rise, philanthropic support for higher education has not kept pace with rising costs of doing business, and federal support for higher education is ever in question (Fisher, 1985). The list goes on.

Not infrequently the *Chronicle of Higher Education* and other related publications detail examples of broken trusts with constituents of colleges and universities. In fact, in the February 1, 1989, issue of the *Chronicle,* Denise K. Magner quotes Rachelle D. Hollander, program director of Ethics and Values Studies at the National Science Foundation, as saying, "Educational institutions are finding themselves in the position of being challenged to develop guidelines for their members along various fronts, all falling under the rubric of

ethics." In the same article, Magner reports that "exploring the role of ethics and values in higher education was one of the top five priorities in a special report developed by a panel of the American Council on Education for the 1988 presidential candidates" (Magner, 1989).

At the same time, the reports of abuses continue. Small colleges are reported to have "laundered" funds submitted to corporate matching gift programs through the treasury of a related church organization (Milder, 1985); a small school "reorients" a check intended to cover tuition to receive corporate matching funds; prestigious universities and colleges are under sanctions from national athletic associations for having "cut corners" in scholarship and recruiting practices, painting the institution to be considerably more and better than the facts would support. Government agencies are considering proposing legislation designed to force colleges and universities to document their marketing claims.

In the winter issue of a new publication by the Josephson Institute in Santa Monica, California, an entire section is devoted to "Education and Academia." Headlines of some of the topics include: "Harvard Business School Requires Ethics Course," "Universities Urged to Stop Science Scams," "Medical Schools Urged to Emphasize Social Responsibility," "Congress Wants Colleges to be More Accountable," "Schools Caught Cheating" (*Ethics,* 1989).

Members of Congress are even proposing legislation that will require colleges and universities to report the crime rate on their campuses.

In the January 1987 CURRENTS, William Rainbolt details some of the most common infractions of the "rules" for matching gifts. In addition to those listed above, they include "gifts for privileges," in which a college permits a matched donation to qualify the donor for membership in a major gift club; "pooled donations," in which individuals who do not work for a matching gift corporation get matching gift credit by giving in the name of someone who does; "volunteer services," where a college or university calculates volunteered hours and volunteer services on a "wage" basis and then requests a matching gift; "falsified documents," in which the institution or the donor makes false claims on matching gift documents; and "phantom money," which Rainbolt says is a simple case of fraud—the institution claims to have received a donation when it did not (Rainbolt, 1987).

The problem of ethical behavior in higher education is not limited to the fund-raising area. In the admissions and publications areas, Roland King gives examples where colleges and universities make unsubstantiated claims of "commitment to excellence"; "the college in the far north . . . implies perpetual summer in its viewbook photos"; as well as abuses of scholarships at some institutions and taking "cheap shots" at competing colleges and universities (King, 1987).

All of these, and other alarming conditions in higher education, point to the very strong need for presidents, governing boards, and advancement officers

to carefully and thoughtfully consider the contract of "trust" with the American public, as it relates to ethical behavior.

Defining ethics

Ethics is defined as that branch of philosophy concerned with conduct—the determination of the good, and of the right and wrong. The ancient Greeks struggled with the concept of ethical behavior. Socrates first pointed out the ethical questions of human life, and by forcing all to focus on the issue, caused those who knew him to think about them. Plato said, "But if you ask what is the good of education in general, the answer is easy: that education makes good men, and that good men act nobly" (*Ethics*, 1989).

These challenges confront us in every phase of life. The final test of ethical behavior will, in fact, be a practical one. Will what we have considered to be good prove to be the case in experience? François Rabelais said, "Knowledge without conscience is the ruination of the soul" (*Ethics*, 1989).

Our ethical responsibilities

At the CASE Greenbrier II Conference in February 1985, much of the discussion centered around finding ways for the advancement function of higher education to become more respected and, thus, to be viewed more professionally. James L. Fisher, then CASE president, suggested that, "We must define ourselves more surely as professionals." He endorsed the suggestion, made by Judith Shklar in her book *Ordinary Vices*, that people who define themselves "become more courageous and less inclined to petty cruelties, hypocrisy, and snobbery" (Fisher, 1985).

In the same address, Fisher pointed out that only in recent years has the advancement arm of higher education even begun to speak in specific terms about "standards" and "ethics." To be respected as professionals, we must define and conduct ourselves in a fashion that commands respect from others. The Greenbrier II Conference concluded that, "CASE should . . . promote the highest standards of ethical behavior and . . . enhance understanding and encourage discussion of ethical responsibilities" (Council for Advancement and Support of Education, 1985).

Joel P. Smith in a CURRENTS article titled "Professionals in Development: Dignity or Disdain?" writes that the practitioner *is* the institution: "Because you represent your [institution] to some of its most important publics, you must set the highest ethical standards for yourself." Smith lists nine "components of professionalism":

> These, then, are the characteristics of professionalism in development: industry, resourcefulness, personal resilience and perspective, assertiveness, respect for academic principles, a deep conviction about the merit of our own institutions, a knowledge of our code and craft, and integrity.
>
> If we commit ourselves to these standards, then disdain is going to diminish (Smith, 1984).

Mirroring the idea that James Fisher would advance at the Greenbrier II Conference, Smith closes his article with the following thought:

> The fortunate fact is that each of us may decide for ourselves which we prefer [dignity or disdain]. It is an easy choice to make and a difficult one to accomplish because to accomplish it requires a great deal of personal determination and individual discipline. An easy choice, but difficult to accomplish (Smith, 1984).

The value of professional associations

Although discipline and determination can be enhanced through professional associations, memberships in such associations tend to be among the expendable in institutions of limited resources where the temptations to bend the rules are likely to be the greatest.

Having been an officer at CASE and then the president of a very small private two-year college, I can attest to the virtually immeasurable value of professional associations. It is through professional associations that we are able to maintain and, indeed, build objectivity and a broader perspective. It is through association with other professionals at other institutions that we are reminded that we are not alone in facing overwhelming problems to which there often seems to be no solution. Through maintaining and utilizing those professional networks, we find associates at other institutions upon whom we can depend for objectivity and a perspective broader than our own specific vision of the immediate challenge.

Robert Forman, executive director of the University of Michigan Alumni Association, is frequently invited to address new advancement professionals. Forman always encourages advancement professionals, new and seasoned, to remember why they are doing what it is that they do so well technically. James Fisher reminded the Greenbrier II audience that, "Professionals are well-educated; they know what they are doing and why" (Fisher, 1985). Both of these examples should help advancement professionals focus on the high calling of our profession and encourage them to protect the trust earned by our predecessors.

In "Dignity or Disdain?" Joel Smith makes the point that the choice is easy to make but hard to accomplish (Smith, 1984). He is correct. In moments of reflective solitude, few will choose actions that are out of concert with their stated goals for ethical behavior. It is in the hard crunch of deadlines, budgets, enrollment quotas, and needed gift income that the perceived difference between fully ethical behavior and "bending the rules just this once to get me by" can become a myopically attractive option. It is at this point that integrity can be compromised, and the choice made in reflective moments without the pressure of performance can easily be set aside.

In choosing institutional advancement as a profession, we must recognize that it is necessary for all who enter the field to be fully engaged, both mentally and personally. I do not believe we can expect to be successful in the enterprise without being "hands on" professionals—we must know the business so well that we understand the operation of the areas where our colleagues work as well as those reporting to us. The more we know about the various phases of operation of the office, the more likely we are to be aware of challenges and temptations to allow "momentary lapses" of stated standards of behavior. It is when we have failed to do our homework and to be fully aware that we get into trouble.

Advice from experts

Some observers say that one of the ethical challenges of the Reagan Administration—the Iran-contra Affair—came about because the leadership was not fully aware of departmental activities. At the same time, leaders must not be caught up in "administrivia."

So what do the experts tell us to do to promote ethical behavior in others and to guide our own thoughts and practices through this professional maze?

Arthur Ciervo, respected veteran in higher education communications, concludes a CURRENTS article for publications professionals, "Truth or Consequences," with this advice:

- Remember, it is the reporter's job—and right—to ask questions.
- Make ethics a regular part of the hiring process.
- Don't ignore the bad news.
- Know your legal limits.
- Be consistent.
- Do your homework.
- Make an effort to meet members of the media (Ciervo, 1987).

Roland King also offers a list of guidelines:

- Realize that ethical issues aren't simple.
- Seek professional advice.
- Remind yourself that your customers are your top priority.

- Ask yourself, "What would my competitors say?"
- Encourage leaders to encourage honesty (King, 1987).

In his article, "When Borrowing Becomes Burglary," John Shea writes:

> Plagiarism is a "difficult ethical issue because it's such a slippery one," says Bernard Carman . . . [of] Lafayette College. How, for instance, do you distinguish legitimate use of others' material—borrowing in a general fashion or drawing inspiration—from outright theft (Shea, 1987)?

Shea's advice: Know thyself; know where to turn; and know the problem exists (Shea, 1987).

In "Professionalism: There Aren't Any Gimmicks," a "Sound Off" article in CURRENTS, Dan Wise points out:

> • We can strengthen our image through our professional organizations. . . .
>
> • We can avoid gimmickry by testing every decision, every activity, to determine if they are in the best interests of our constituents. . . . We serve our institution best when we serve the interests of its constituents equally as well.
>
> • We can get to know our institutions so well that we portray them exactly as they are (Wise, 1983).

Perhaps the most poignant part of Wise's article is the statement:

> Our approach must be light-years beyond the old exploitative sales orientation of the past. Instead of concentrating on the needs of the institution—for dollars and students—we must concentrate on satisfying the needs of our publics—be they prospective donors, prospective students, or others. A college without a purpose other than its own survival is not going to survive (Wise, 1983).

Ethical behavior is made much easier when careful assessment of needs and projections of goals and objectives are followed by careful planning of activities and budgets of dollars and people to achieve these goals. Poor planning can be a gateway to the compromise of our standards. When we have not carefully planned, many challenges can arise that look highly tempting when our judgment is clouded with the pressures of performance and deadlines.

Again, professional associations such as CASE can make dramatic and impressive contributions to the planning process. In addition to some excellent conferences, publications, and video productions, association staff are eager to answer questions and point practicing professionals to others in the field who have had similar experiences.

It was the Frenchman Alexis de Tocqueville, when he came to this country in the 1830s, who observed the unique characteristic of Americans to seek help from each other rather than depending on governmental bureaus for help. That same pioneer spirit still exists in institutional advancement. Advancement people are by nature an outgoing bunch, willing to help. I have been in this business since 1972 and I have never been denied assistance by a colleague.

The true professional, regardless of chosen field, is granted a tremendous amount of autonomy in deciding what to do and how to behave. In order to continue to have the freedom to manage our professional agenda and to be respected as professionals, we must behave as professionals. It is when that autonomy is abused, when rhetoric and performance are not in concert, that members of the constituency begin to raise questions about ethical behavior, and our "professional freedom" is compromised. One characteristic of a profession is that the group regulates and "polices" itself.

Protecting and maintaining trust

Perhaps the most precious commodity for the advancement professional is *trust*. If trust is broken, all else is incidental. No contract negotiated by the nation's finest attorneys, no system of tracking or management performance measurement can substitute for that one precious commodity of trust—trust with the constituency, trust with peers, trust with the governing board. Trust cannot be purchased or fully reclaimed when broken. Protecting and maintaining that trust is up to the individual.

After much thoughtful debate and serious effort on the part of both staff and volunteers, the CASE Board of Trustees unanimously adopted a Statement of Ethics on July 11, 1982.

> Institutional advancement professionals, by virtue of their special responsibilities within the academic community, represent their colleges, universities, and schools to the larger society. They have, therefore, a special duty to exemplify the best qualities of their institutions, and to observe the highest standards of personal and professional conduct.
>
> In so doing, they promote the merits of their institutions, and of education generally, without disparaging other colleges and schools.
>
> Their words and actions embody respect for truth, fairness, free inquiry, and the opinions of others.
>
> They respect all individuals without regard to race, color, sex, creed, ethnic or national identity, handicap, or age.
>
> They uphold the professional reputation of other advancement officers and give credit for ideas, words, or images originated by others.

They safeguard privacy rights and confidential information.

They do not grant or accept favors for personal gain, nor do they solicit or accept favors for their institutions where a higher public interest would be violated.

They avoid actual or apparent conflicts of interest, and, if in doubt, seek guidance from appropriate authorities.

They follow the letter and spirit of laws and regulations affecting institutional advancement.

They observe these standards and others that apply to their professions and actively encourage colleagues to join them in supporting the highest standards of conduct.

It is interesting and encouraging to note that the Statement is a set of guidelines, rather than a set of specific rules. In "Wallowing in the Fine Print," George F. Will points out that it is possible to become so "Talmudic" and specific in encouraging ethical behavior that you get lost in the details (Will, 1989).

References

Ciervo, Arthur V. "Truth or Consequences." CURRENTS, January 1987, pp. 20-24.

Council for Advancement and Support of Education. "The Greenbrier II Colloquium: A Report." CURRENTS, September 1985, pp. 15-18.

Ethics: Easier Said Than Done. "Ethics Watch: Education & Academia." 1989, p. 18.

Fisher, James L. "Keeping Our Place at the Academic Table." CURRENTS, September 1985, pp. 11-14.

King, Roland. "Painting the Wrong Picture." CURRENTS, January 1987, pp. 26-30.

Magner, Denise K. "Rash of Ethical Lapses Spurs Colleges to Study Their Moral Responsibilities." *The Chronicle of Higher Education,* February 1, 1989, p. A11.

Milder, Lilli M.L. "Handle with Care." CURRENTS, February 1985, p. 56.

Rainbolt, William. "Gifts that Can't Be Matched." CURRENTS, January 1987, pp. 12-18.

Shea, John. "When Borrowing Becomes Burglary." CURRENTS, January 1987, pp. 38-42.

Smith, Joel P. "Professionals in Development: Dignity or Disdain?" CURRENTS, March 1981, reprinted September 1984, pp. 23-24.

Will, George F. "Wallowing in the Fine Print." *Newsweek,* February 27, 1989, p. 82.

Wise, Dan. "Professionalism: There Aren't any Gimmicks." CURRENTS, April 1983, p. 54.

Section 2

Planning for Institutional Effectiveness

Richard Fonte

Richard Fonte is president of South Suburban College of Cook County in South Holland, Illinois. He works with the SSC Board of Trustees, providing overall leadership to the college during its period of transition and revitalization. He initiated a program of physical facilities renewal during his first six months and has begun the effort of curriculum renewal and faculty revitalization. He also implemented a financial plan aimed at balancing the college budget through a combination of "self-help" measures such as increased marketing, along with increased state support.

Fonte previously worked as a senior consultant to state and local governments in Illinois and in the areas of public affairs and planning and development at Triton College in River Grove, Illinois. He has been active in his community and was selected "Illinois Outstanding Young Man" by the Illinois Junior Chamber of Commerce.

Chapter 5

Market Research

Richard Fonte
President
South Suburban College

Major businesses and corporations spend considerable time and resources on market research. Philip Kotler, a leading marketing theoretician, has observed that, by contrast, nonprofit institutions are all too frequently still at "the stage of stereotyping their customers . . . [and] never conduct formal research into their market's attitudes and behavior" (Kotler, 1975).

The enrollment declines faced by many educational institutions sparked an interest in marketing as a methodology to stem or reverse this adverse tide. Unfortunately, all too many institutions either misunderstood or neglected the critical connection between research and marketing methodology. A survey of 300 educators in colleges facing enrollment decline found that 61 percent considered marketing to be only a combination of selling, advertising, and public relations (Murphy and McGarrity, 1978).

Only a few respondents suggested that needs assessment and market research were important to effective marketing. Many colleges, including community colleges, simply adopted some marketing techniques without achieving the full benefits of "a marketing orientation" (Kotler and Fox, 1985).

For community colleges this is especially damaging to their mission fulfillment. According to Kotler:

> A "marketing orientation" holds that the main task of the institution is to determine the needs and wants of target markets and to satisfy them through the design . . . and delivery of . . . programs and services. An institution with a marketing orientation concentrates on satisfying the needs of its constituencies (Kotler and Fox, 1985).

The close parallel between this orientation and the mission of a community college should be obvious. The community college will not be able to achieve its mission of filling the needs of the community unless it undertakes the marketing research necessary to determine just what those needs are.

Levels and sources of research

All too often, community colleges that are beginning a marketing effort for the first time assume that only sophisticated research can provide the solid evidence on which to base marketing decisions. This is simply not true.

We can identify three levels of sophistication in market research at community colleges:

- Basic research can and should be performed by virtually every community college. Research at this level focuses on secondary sources derived from internal college data and external data of governments, associations, universities, or other sponsoring research entities.
- Intermediate research involves a data-gathering effort that couples qualitative research activities—especially focus groups—with secondary research analysis.
- Comprehensive research, the most sophisticated level of research, incorporates a strong mix of quantitative survey research, primary source data, and other qualitative and secondary research.

Basic research uses secondary data by gathering information, particularly on current or recent students. Intermediate research, on the other hand, permits analysis not only of current or recent students, but also of potential students within identified significant market segments. Comprehensive research further strengthens the ability to gather data concerning current, recent, and potential students. While there may be limits to the amount of comprehensive research that smaller community colleges can engage in, most colleges should be able to conduct intermediate research by using focus groups to supplement basic research efforts. Figure 5-1 summarizes the relationship of key market segments and the available research tools at the three levels of research.

Institutional research capabilities

What research tools you use depends on both your information needs and your institution's capabilities. Staff capabilities, particularly the existence of an institutional research office and adequate data-processing personnel, broaden the range of tools that can be used to gather market research data. Institutional research staff are usually familiar with a wide variety of software packages that

Figure 5-1: Target Market Analysis, Levels of Research Sophistication

Target market	Research level	Research source	Approach
Current/recent students	Basic	Secondary data: internal	Enrollment trend analysis
	Basic	Secondary data: Census and internal high school records	Market share analysis
	Intermediate	Primary: qualitative	Focus groups
	Comprehensive	Primary: quantitative	Student attitudes survey
Potential students • High school age • Adult • High school counselors	Intermediate	Primary: qualitative	Focus groups
	Comprehensive	Primary: quantitative	Attitude surveys Mail phone

can assist in-depth market research. If your college has research staff, they should be key members of the marketing team.

However, even without a research office, most campuses have the staffing and data available to conduct considerable marketing research. In such cases, leadership for market research passes to the public relations and admissions or registrar offices. No matter how small the staff at a college, resources should be adequate to carry out several levels of market research. Even with only limited cooperation from the college's data-processing division, the majority of key internal data records can be put into a useful form. In addition, non-research staff who are given guidelines can conduct qualitative research through focus groups.

Basic research

Market share and enrollment trend analysis are forms of secondary research within the capability of virtually every community college. At a somewhat more sophisticated level, segment profile analysis can be used to compare demographics of an identified key segment to the college average.

Two essential types of market share analysis are high school and geographic. The data to perform high school market share analysis are readily available from internal records and local high schools. A high school market share analysis determines what percentage of June graduating seniors from high schools A, B, and C are entering your institution the following fall. You can also compare these data to your institution's market share in a prior period, perhaps several years ago. This will help you identify short-term shifts and long-term trends. Figure 5-2 lays out a matrix for this analysis. (In this figure, the college's internal GED program is considered an additional "high school.")

Figure 5-2. High School Market Share

High school	Number of freshmen at your college			Number in high school graduating class			Your college's share (percent)		
	1986	1988	1989	1986	1988	1989	1986	1988	1989
A									
B									
C									
GED									

You can also do a geographic market share analysis with data gathered from secondary sources. Use geographic segments that make sense for your institution—county, city, ZIP code, and so on. To identify trends, compare the figures over a three-year period or longer. You should also do a breakout for transfer-oriented and occupationally related students; in many cases, both market shares and trends can differ between these two groups. Figure 5-3 provides the basic layout for geographic market share analysis. As in the case of high school

Figure 5-3. Geographic Market Share

County	Total college (number/percent)		Occupational programs (number/percent)		Baccalaureate/transfer programs (number/percent)	
	1988	1989	1988	1989	1988	1989
County 1						
County 2						
County 3						

market share, Figure 5-3 uses a combination of raw number comparisons and percentages.

The analysis of enrollment trends by significant market segments should focus on those segments on which the college marketing efforts may have some impact, including:

- male/female;
- day-part (day, evening, weekend);
- race; and
- age (21 and under, 22 to 25, 26 to 35, and 36 and over).

First, analyze each basic segment in a matrix against each of the other three major segments. That is to say, male/female should be broken out by day-part, race, and age. Secondly, break out each of the major segments by baccalaureate/transfer versus occupational students and also by part-time versus full-time. Do the marketing analysis in each case for one year and three years.

Figure 5-4 demonstrates a matrix that breaks down enrollment trends for blacks and whites by two factors: male/female and baccalaureate/transfer versus occupational. Additional matrices could be developed for part-time students and to analyze three-year enrollment trends.

The results of your analysis of significant enrollment trends will be a series of matrices containing data aligned in such a fashion that even colleges with elementary data-gathering capabilities can make marketing decisions on the major topics contained in most marketing plans.

Obviously this analysis is much easier if you have access to a variety of computer software packages. Supplemental graphic displays such as bar charts, pie charts, and trend line graphs can be generated in addition to numerical data. It is important, however, to understand that basic research is not depen-

Figure 5-4: Market Trends by Area (Full-time Students)

	Total college (number/percent)		Occupational programs (number/percent)		Baccalaureate/transfer programs (number/percent)	
	1988	1989	1988	1989	1988	1989
White						
Male						
Female						
Black						
Male						
Female						

dent on the use of any sophisticated tools. The college's data-processing operation should be able to provide the minimal programming effort necessary to sort data in the suggested categories.

Segment profile analysis is another form of basic research that relies upon internal data. Segment profile analysis compares a significant segment of your enrollment against the profile for the college as a whole. A useful set of profile characteristics would include:

- age;
- full-time versus part-time;
- sex;
- race;
- in-district status;
- day-part attending;
- educational intent; and
- employment status.

For promotional purposes, you may want to do a segment profile analysis of the students who enroll in a particular curriculum. For example, how do students who attend college on the weekend compare with the college average? Except for age comparisons, most comparisons of small segments should be displayed on a percentage basis since the analysis seeks to identify significant deviations from the overall college norm.

Intermediate research

Once you have assembled and analyzed data at the basic research level, you can identify group segments representing the most interesting trend shifts. You can then use focus group qualitative analysis to further explore these key trend groups. Such intermediate research, relying upon qualitative focus groups, should be possible for most community colleges to undertake. For example, if analysis of secondary data reveals that women in occupational courses, attending part-time, are demonstrating enrollment increases well above average, you might use a focus group of such students to help you understand why this is happening and how you can reach this group through promotion.

Focus group interviewing can explore a number of issues. James B. Higginbotham and Keith Cox outline several ways in which focus group research can be applied to educational marketing:

- to provide overall background or general impressions of the college, a program or service of the college, or the current delivery method (schedule or mode of instruction);
- to get impressions on proposed new program offerings, services, or delivery approaches for which there is little information available other than internal institutional opinion; and

• to generate new ideas or new approaches to current programs or services or delivery approaches or to suggest entirely new programs, services, or delivery approaches (Higginbotham and Cox, 1976).

If you are about to begin focus group research, here are some guidelines.

First, focus group research is small group research. That is, focus groups should be composed of eight to 12 subjects. Fewer than eight places too much pressure on each individual in the group, while more than 12 reduces participation in the discussion by individual members (Higginbotham and Cox, 1976).

Generally, the focus group should be composed of volunteers. However, if you cannot find enough volunteers willing to participate in the group, you may have to offer some "reward," including payment.

The focus group session should last approximately two hours, and it should take place in relatively pleasant surroundings, perhaps with refreshments.

Since your objective is to gather attitude information from the participants, you must make sure the information is recorded in some way, either through note-taking or on tape. The interviewer should tell the participants which approach is being followed and explain why the information is being gathered.

The approach taken by the focus group leader is obviously the critical factor in successful focus group research. Ideally, the leader should be a "trained" interviewer. He or she should project objectivity throughout the session, have some understanding of group dynamics and techniques such as "brainstorming," and be able to encourage a "guided" discussion, which the participants will perceive as being "free and easy."

In order to provide this subtle guidance, the leader should have some knowledge of the subject matter, but should be careful not to be overbearing in the discussion. It's not necessary to have a trained interviewer for a successful focus group session, however. The group leader role very often can be filled by someone who is knowledgeable about the area and can be both a good listener and an effective conversational prompter. Individuals with counseling backgrounds are often good focus group leaders.

Comprehensive research

Comprehensive research relies upon quantitative data gathering, particularly through surveys. While community colleges frequently consider such research to be beyond their range, this does not mean that they cannot utilize some comprehensive research techniques.

Using standardized surveys from outside associations or vendors can facilitate a staff data-gathering effort. For example, you can use the "Student Reactions to College" survey of the Educational Testing Service to focus on current "customers" (students) and gather key information to assist your promotional

planning efforts. Moreover, such packaged survey approaches are relatively inexpensive.

A community college with financial resources can conduct solid survey research through the help of outside consultants who are likely to do most of their survey work by phone polling.

This type of survey research can be used to explore topics such as awareness of the institution, reputation or image of the institution, and ranking as compared to other institutions. Consultants frequently do surveys of the general adult population, but you may also want more in-depth surveys of key identified populations. At a minimum, the results of a general adult survey are particularly important to study by significant market segments such as age, sex, etc., which you have identified. In fact, an important element in the survey design is to determine what general information you will need from the survey respondents so that you can sort data by meaningful groupings during the analysis.

You can also use surveys to identify adult educational needs or interests. The research of Carol Aslanian suggests that "need" and "interest" surveys grossly overestimate what adults will actually do—that is, not all the people who like the idea of taking a course in Spanish literature are willing or able to set aside the time to attend classes. Several methods of determining "demand" rather than just "interest" have been developed, such as the College Board's Community Assessment Program (CAP), but these are not yet in widespread use (Aslanian and Brickell, 1980). The development of demand-based surveys offers considerable promise that college marketers should watch closely.

The institution seeking quantitative survey research may choose from a wide variety of vendors—local advertising agencies, market research firms, and local universities and groups specializing in college marketing research. Prices can vary widely; an in-depth study can range from $20,000 to $50,000. This doesn't mean that you can't obtain a good survey for considerably less, but you may have to shop around and consider your alternatives carefully.

Conclusion

A community college cannot achieve its mission of serving the needs of the local community without effective market research. Most colleges should be able to engage in some research at each of the three levels of sophistication, and basic research is certainly within the capability of every community college. Institutional advancement personnel at community colleges have a special obligation to approach marketing as a comprehensive methodology rather than merely a promotional technique. The modern advancement officer should have the confidence to utilize all the research tools available to his or her institution.

References

Aslanian, C., and H. Brickell. *Americans in Transition: Life Changes as Reasons for Adult Learning*. New York: College Entrance Examination Board, 1980.

Higginbotham, James B., and Keith K. Cox. "Focus Group Interviews: A Reader" in Danny N. Bellenger, Kenneth L. Bernhardt, and Jac L. Goldstucker, eds., *Qualitative Research in Marketing*. Chicago: American Marketing Association, 1976.

Kotler, Philip. *Marketing for Nonprofit Organizations*. Englewood Cliffs, NJ: Prentice-Hall, 1975.

Kotler, Philip, and Karen F.A. Fox. *Strategic Marketing for Educational Institutions*. Englewood Cliffs, NJ: Prentice-Hall, 1985.

Murphy, Patrick E., and Richard A. McGarrity. "Marketing Universities: A Survey of Student Recruiting Activities." *College and University*, Spring 1978, pp. 249-61.

Webster B. Trammell

Webster B. Trammell is research and development officer at Brookdale Community College in Lincroft, New Jersey. His work in the area of program assessment and evaluation—in particular school-based service delivery programs, drug prevention and abuse programs, community-based minority intervention programs, and developing alumni associations—has been the subject of several presentations and publications. He has also worked on management information systems, including design, research, and implementation of computer-assisted data files. As a practicing clinical psychologist, he has a background in psychometric assessment and individual and group psychotherapy.

Trammell is active in numerous professional organizations, including CASE where he serves on the Commission on Two-year Institutions. He is currently chair of the Monmouth County (N.J.) Board of Alcohol and Drug Abuse Services and a consultant on the development of alumni associations at community colleges.

Chapter 6

Institutional Research

Webster B. Trammell
Research and Development Officer
Brookdale Community College

The success of any community college today to satisfy its mission depends primarily upon the ability of its top-level leadership to make well-informed, efficient, and effective decisions based upon pertinent and reliable research data. This can only happen when the college has a clearly defined yet flexible mission statement for its research area.

It is tempting to define and outline in a lock-step manner what an office of institutional research should entail. In the not-too-distant past, institutional research was designated as a staff function, responsible solely for data collection and number manipulation, and, indeed, many institutions still operate in this manner—if they have a research office at all.

Today some sharp divisions exist between researchers who espouse this more rational traditional approach and those who possess a proactive political approach. The rational traditional approach relies heavily on a past and present orientation and, at the implementation stage, is operational in scope in the sense that no analysis or interpretation of data is offered. The proactive political approach looks toward a future orientation and demands a strategic planning perspective.

Regardless of the research orientation a community college chooses to embrace, if you attempt any serious review of the various aspects and components of institutional development philosophy and practice, you are almost certain to find an effective institutional research office at the core and anchor of successful programs.

The only reason institutional offices of research exist is to support the educational mission of the institution. If a research office cannot contribute to the decision-making processes that ultimately affect the educational process,

it is time to evaluate its role within the college. If researchers aren't actively engaged in the role of postulating solutions to problems posed by decision makers, the institution then loses an important advantage when it comes to problem solving. Bad decisions are likely to result in lost revenues, lost faculty allocations, closed programs, and, most important of all, under-served students. Institutional research today is probably in the best position it has ever enjoyed with regard to an opportunity to influence decision making.

This chapter addresses what a model research office should be in the context of a community college setting. Alfred suggests five agendas that should command the attention of community college researchers in the 1990s: institutional accountability, governance, public policy, public opinion, and institutional vitality (Alfred, 1986).

In order to effectively address the broad set of agendas that Alfred suggests, research personnel should possess a core set of skills. Much of the role of research personnel is driven by the institutional mission as translated by the president. Today more than ever, community colleges are community-conscious and need to validate their programs and services against community needs and expectations. More and more this has led to a realization on the part of the college president of the need to support institutional research with financial resources, clearly defined goals, planning responsibilities, management and evaluation, and protection from political interests in the college. Institutional research has to be a bastion of integrity and ethically without peer in the institution. An effective president will make every effort to ensure that institutional research is "empowered" to carry out its functions while not being inundated with reporting, clerical, and data-reporting tasks.

An effective research staff should possess the following:

- methodology and statistical skills;
- knowledge of higher education and management;
- knowledge of the institution;
- communication skills;
- analytical skills;
- human relations skills;
- data collection and management information skills; and
- computer and data-processing skills.

Basic to all these skills is the ability to organize and coordinate discrete tasks as part of a comprehensive agenda for institutional research.

Organizational issues

Ideally, the institutional research office should report directly to the president or to a division vice president/college officer who reports directly to the president. The processes of institutional accountability, governance, public

policy, public opinion, and institutional vitality are operationalized through a series of activities known commonly as research practices.

The structure of the research office should take two things into consideration:

- whether or not the demands on the office call for more than one professional; and
- how to structure the flow of work of the office for control and efficient management.

Once the role of the research office is determined, you must plan for relationships among the office personnel, the data sources, the administrative support services, and users of its services. The office and the institution must be structured together to achieve the hoped-for institutional research functions.

There are obvious operating responsibilities attached to the research office. These include, but are not limited to, internal budgeting and accounting, staffing issues, evaluation, committee participation, and so on.

The research operation revolves around the five contextual agendas as suggested by Alfred. Essential to this framework is the basic research function—to relate to data producers, to process data into usable information, and to report to data users. The structure of the research office, taking into account the particular political realities of the institution, is then built around the need to establish communication channels to appropriate providers and users of data and information, regardless of their placement in the institutional hierarchy.

Specific functions of a research office

Ridge categorizes the functions of institutional research into three formal areas: institutional studies, management analysis, and periodic management information reporting (Ridge, 1983).

Institutional studies are defined as the direct continuation of the original self-study concept. Institutional studies answer discrete questions about the institution, its activities, its programs, and its public or other services. Examples of institutional studies are institutional fact books, graduate follow-up reports, student profiles, retention reports, and grade analyses.

Management analyses, on the other hand, are fundamentally different from institutional studies in that these reports put managerial problems into a conceptual perspective and develop options for action or resolution. Management analyses determine the costs and benefits of each option, but do not make recommendations. An example of this would be an academic program evaluation that raises issues but makes no recommendations. In contrast, the results of an institutional study are the answer.

The role that researchers play in the area of management information reporting is one in which researchers become sharply divided. The product of this

process is the aggregation and synthesis of routine data into management information. This is not a clerical process but one in which the researcher is required to interpret data and draw some conclusions. Program feasibility studies, retention strategies, and marketing plans are examples of this approach.

There are many arguments in favor of this type of approach. Decision makers who use these types of reports seldom if ever have the time and expertise to design or produce the reports themselves. Nor do they necessarily have the access and institutional overview necessary to provide a coordinated package with an institution-wide focus. Institutional research, as a function, can package information into a series of reports, sometimes longitudinal in nature, thus providing continuity within subject areas and over time.

The centralization of management information helps make that information available for reporting to outside agencies or other divisions of the college. Additionally, constant involvement in this type of information reporting legitimizes the institutional researcher's request for changes in the operational data systems necessary for management reporting.

Operational responsibilities

Depending on the institution's political climate and the resources of the institution, a centralized institutional research office is probably the model of choice. Within this model, three different components can be defined.

- First are external contacts. Every large and small research office is daily deluged with requests for data and information. A substantial amount of the researchers' time resources must be spent in filling data requests in the form of surveys and questionnaires from federal, state, and local government agencies; nonprofit groups; professional organizations and other colleges; print and nonprint media such as newspapers and radio; and, of course, doctoral dissertations and curious citizens.
- Second are internal contacts. These contacts take the form of ad hoc requests and inquiries from faculty and administrators. In many instances, seemingly simple requests, after clarification with the requester, become full-blown research projects, well beyond the scope initially presented. In addition, virtually every research office provides descriptive statistics on enrollment, grades, graduation rates, and the like. Usually, these data are presented on a routine basis to a prescribed list of decision makers on campus.
- The third type of contact is one that a proactive research office initiates itself. Here, research staff have the time to actively assess data and internally brainstorm the implications of the data on the vitality of the institution. Staff make interpretive connections of seemingly unrelated data, design a methodology, and present a report to decision makers in a format that advances a hypothesis through a stated problem, draws conclusions, and offers recom-

mendations to ameliorate the problem or reach a more desirable state of affairs.

Researchers have to know where to access data before they can be reported. This entails a thorough knowledge of college and sometimes external data systems. Data may be stored in a dynamic database, tape file, personal computer disk (hard or soft), microfiche, or paper file. More and more printed tables, laboriously thumbed through year after year in paper form, are now being accessed in microseconds on a personal computer.

No matter where the data reside, they can be found in many forms, such as student data, fiscal data, personnel data, physical facilities data, and curriculum data.

Once the researchers have accessed and compiled the data, they must begin the process of synthesis and analysis. Researchers use a variety of methods to bring data together to address a problem. The resulting information is then reported out of the research office through factbooks, policy books, and routine or special reports. End users—decision makers—use this information in strategic planning or budget coordination.

The decision-making process can happen at various levels within the institution, and the research office must be flexible enough to accommodate them all. From a strategic planning perspective, decision making in the governance arena is instituted by policy groups such as the president's cabinet, board of trustees, college senate, and so on. Once policy is formulated, the college administration (deans, directors, department chairs) must operationalize it through the implementation of tactics usually articulated in written procedure manuals.

While it would be useful to categorically outline and describe the types of daily activities institutional research should be responsible for, it is difficult if not impossible to make generalizations for all institutions. The mission of the college, the resources available, the institutional climate, and, to some degree, the community environment in which the college finds itself at any given point in time will all determine how, when, and by whom research will be used.

In order to be successful, a community college research office must meet the following criteria:

- The research office must be strategically placed within the organizational structure of the institution so that it can affect policy decisions in the most direct way possible.
- The office must be empowered to access data and information from a variety of sources in order to assemble the most complete information packages possible.
- The college must have a clearly defined mission statement and philosophy from which the research office can determine direction.
- The research office must have as its mission the resolve and capacity to serve a number of constituencies and clients, many of whom do not clearly

know why they want data and what they will do with the data when they receive them.

- The office must be staffed by individuals whose professional integrity and ethics can withstand considerable scrutiny while resisting both internal and external pressures to compromise facts and findings.
- The office must maintain as the number one priority services that assist in the development of learning experiences for students.
- The research office must be able to communicate clearly with a number of diverse constituencies at various levels and in different formats.
- The office must maintain a cataloging and filing system that enables quick, timely, and efficient access to data and information sources.
- The office must have personnel who can develop effective interoffice and interinstitutional relationships for the purpose of sharing and accessing ideas and data.
- The office must be given the responsibility as the only unit in the institution that can release information about institutional characteristics to outside sources. All data and information requests should be channeled through the research office.

Once the role of institutional research is established by the mission and goals of the institution as interpreted by the president, the support and authority given the office determine the relative success of the unit in meeting its objectives.

While the research role in a community college was once seen as merely "number-crunching," today, even in one-person operations, the researcher is called upon to assist in marketing decisions, outcome assessment strategies, survey and questionnaire design, database access and restructuring, program review evaluation, feasibility studies, economic predictions, and enrollment management and trend analysis, among others. The day is gone when researchers were asked only to contribute to data requests for a self-study or to be responsible for submitting data to state and federal agencies.

The proactive political approach is finding greater acceptance with presidents and other decision makers responsible for the vitality of the institution. The enrollment decline expected for all colleges in the 1990s calls for rapid and effective collection of data and dissemination of information. Enrollment policies will most certainly affect research practices in the immediate future.

The research office will have to receive unswerving support in order to meet the challenges of the future. When researchers receive this support, they serve as important resources for decision makers at community colleges.

References

Alfred, Richard. "Issues and Agendas for Community College Institutional Research in the 1990s." *Community College Journal for Research and Planning,* Spring 1986, pp. 5-12.

Ridge, John William. *Organizing for Institutional Research,* AIR Professional File 1-16. Toledo, OH: The Association for Institutional Research and the John H. Russel Center for the Study of Higher Education, 1983.

Byron N. McClenney

Byron N. McClenney has been president of the Community College of Denver since 1986. He has done extensive writing and research in management and development and has more than 25 years of experience in community colleges.

In addition to his present position, McClenney's professional activities include service on the AACJC Urban Commission; as a consultant/evaluator for the regional accrediting body, the North Central Association of Colleges and Schools; and as a management consultant, speaker, and accrediting association evaluator in 41 states, three provinces of Canada, and the West Indies. He has published many articles on planning and management.

Chapter 7

Strategic Planning

Byron N. McClenney
President
Community College of Denver

All institutions engage in planning even if they do not call it planning. A budget is a plan because it assigns values and priorities to certain activities. The key question in developing a budget should be, does it implement the important values, priorities, and the critical decisions about the future of the institution? All too often the answer is resoundingly negative.

Fragmented planning

Many institutions move beyond budgeting and engage in aspects of comprehensive planning. For example, they may develop plans for some or all of the following areas:

- facility development;
- marketing;
- computing;
- human resource development;
- accountability;
- enrollment management; and
- financing.

While it may be useful to focus on particular areas, an institution that does so may miss the significant benefits available when planning for these areas flows out of a comprehensive look at the future development of the whole institution.

Each institution should seize the opportunity to develop a desired future based upon a thorough assessment and understanding of the external and

internal factors or forces that influence institutional development. What is required is a concrete decision to create a collective vision of the future. To create this vision, the college must be willing and able to identify and deal with its most critical issues. Identifying these issues and making wise decisions to resolve them—this is strategic planning at its best. The strategic choices the college makes, when viewed as a whole, will describe its desirable future or collective vision. This vision then becomes the organizing force for action steps.

Information for planning

Using existing data and information expedites the review of external and internal factors out of which the critical issues can be identified. Among the most useful sources are the following:

- institutional surveys and studies, including: student follow-up studies, studies of grade distributions and attrition, employer surveys, student and staff surveys, student demographic summaries, and community needs assessments;
- program reviews;
- personnel evaluations (summary data);
- reports for outside agencies;
- IPEDS (Integrated Postsecondary Education Data System) data (collected by the National Center for Education Statistics);
- advisory committee reports and recommendations;
- reports or studies by other organizations;
- chambers of commerce;
- economic development organizations;
- U.S. Census Bureau;
- local and state planning offices;
- regional councils of government; and
- economic reports by major banks.

Most institutions have more data than they can possibly handle. The translation of these data into useful information is the important step to take in the early stages of a planning process.

Planning council

The task of sorting the data and identifying gaps can best be performed by a representative group of college personnel. This group or planning council, if properly constituted, can break barriers and provide leadership for strategic decision making. Converting data into useful information is an initial task. The

planning council will clarify its thinking about both external and internal factors by organizing the data into categories. External factors include:

- demographics;
- social forces;
- economic realities;
- political realities;
- impact of technology;
- impact of institution; and
- employment outlook.

Similarly, data from an internal review might include:

- enrollment trends;
- financial trends;
- program mix;
- organizational barriers;
- measures of productivity; and
- follow-up studies.

Once the council has analyzed what is known about external realities and opportunities and reviewed internal resources and barriers, it can identify the significant or critical planning issues. With insight gained from the review of data, the council can develop planning assumptions about the future. If the planning council is seen as credible, then its assumptions will be accepted as guidance for the entire institution. It is no longer necessary for everyone to review the raw data before they trust the assessment.

Background, issue, or position papers help the council convert data into useful information. Respected faculty members in disciplines such as economics, sociology, business, technologies, and management are frequently the best writers, possibly in collaboration with an institutional research officer. Their task is to sort the data in a particular area, such as demographics, and to help readers understand the implications for the institution.

The position paper writer should also identify several strategic alternatives based on the insights presented in the paper. A rating sheet listing the primary conclusions and alternatives works well in soliciting responses from planning council members and members of the broader campus community. Average ratings of the tentative conclusions and alternatives from a five- or seven-point scale are great time-savers when the council is focusing on the most critical issues and the related strategic alternatives.

An institution attempting to develop an initial strategic plan might include position papers dealing with the following topics:

- institutional overview;
- enrollment trends;
- demographics;
- finance;
- community economic and social priorities;
- program mix; and

• results of follow-up studies.

While not all-inclusive, the list suggests a review of external and internal factors and forces of significance. If an institution has recently completed a self-study for accreditation, it may not need all the papers on this list. On the other hand, preparing and reviewing these papers, if properly coordinated with officials of accrediting bodies, can take the place of a traditional self-study.

The planning council, with the aid of background papers and feedback on tentative conclusions, should be in a position to draft or update documents as needed. Those elements most basic to the institution—statements of mission, role and scope, and goals—could be drafted or modified. A set of assumptions about the future can help people at all levels of the institution to focus their individual and unit planning on the needs and possibilities of the likely future. The vision for the future can be presented in a set of strategic choices or directions, based on an analysis of the alternatives.

Brevity in written reports and documents and intense activity during brief periods of time help ensure a successful undertaking for an institution. For instance, background papers should be limited to 10 pages or less. One page of the most important planning assumptions is much more useful than a document outlining all possible outcomes. Further, a succinct set of goals helps focus activity. The council will be more effective if it makes strategic choices about the most critical issues rather than attempting to cover all possible initiatives for the future. Equally important is the effort to schedule intense activity during prescribed periods of time. The members of the council are more likely to participate enthusiastically and effectively if they are asked to work hard for a short period than if they're commissioned to be "on call" for a year-long effort.

Planning issues and strategic choices

The following issues and possible strategic choices illustrate the basic approach of strategic planning:

• **Issue:** Faculty salaries have slipped below the average of a peer group. *Potential strategic choice:* Faculty salaries should be raised to a point above the average during the next three years.

• **Issue:** Tuition and fees have reached a level where access is limited for disadvantaged students. *Potential strategic choice:* Students will pay no more than 20 percent of the costs for an education in 1992.

• **Issue:** Administrative costs are consuming an increasing percentage of the operating budget. *Potential strategic choice:* There will be no net increase in administrative costs during the next three years.

• **Issue:** There is concern about program quality and job placement in the occupational programs. *Potential strategic choice:* A cycle of program reviews

will be established through which every program will be reviewed at least every five years.

• **Issue:** Faculty and staff members are experiencing burnout, and large numbers will retire within the next five years. *Potential strategic choice:* The institution will allocate 1.5 percent of the operating budget for professional development and orientation of new employees by 1992.

Many additional issues, opportunities, and challenges emerge as any community college engages in an assessment of its situation. An effective strategic plan may, in effect, be a compilation of these strategic choices and a summary of the background information developed during the review and assessment phase of work. The strategies for the future should not be viewed as a fixed five-year plan, but rather as directions to be pursued in the future. An annual update can allow for adjustments and additions. Other plans—facilities plans and operational plans, for example—should then be driven by the strategic choices.

Priorities

If an institution takes a thorough look at the external and internal forces and factors, it will probably discover more initiatives than it can handle in the immediate future. It is critical, therefore, that the institution identify a limited set of priorities for next year; these priorities can then guide operational planning, resource development, and resource allocation.

Without the linkage of strategic choices, operational steps, and resources, strategic planning efforts are virtually meaningless. Conversely, strong linkages allow an institution to make rapid progress. The message throughout an institution should be that money, human resources, space, and time will be allocated or reallocated in line with the choices made about the critical issues and opportunities facing the institution. The suggested action priorities, possibly five to seven in number, should guide all units of the institution as they deal with their part of the operational planning.

Essential ingredients

To enable the institution to deal effectively with the public, governmental entities, and internal groups, the following documents should be elements in the strategic plan:

- mission;
- role and scope (multi-unit organizations);
- goals;
- planning assumptions;

- strategies for the future; and
- action priorities.

From basic purposes to strategic choices, there should be clarity about the desirable outcomes of the college. The items above are the basic building blocks with which the college demonstrates institutional accountability. They also provide a basis for resolving conflicts between interests competing for limited resources within the organization.

Board approval of at least the mission, goals, and strategies—if not the entire strategic plan—provides reinforcement for internal decision making in support of the strategic directions.

Institutional commitments

Certain institutional commitments are crucial if planning is to have a positive impact on institutional life. Needed first is a plan for planning. This should set forth clear expectations of the planning effort; it should establish schedules and formats. Institutional leaders should stress the need for an ongoing cycle of internal and external assessment activity. An institution should not wait until all the research and review work is done, but rather should proceed with available information and then schedule additional work for the next cycle of planning activity. The institution should commit itself to an annual cycle of activity in which the strategic plan is updated and action steps are developed in an operational plan.

Resource allocation should then be based on the approved plans. The strategic choices developed in the strategic planning process should drive all decisions about staffing, new program development, acquisition of equipment, capital projects, and other significant decisions about the utilization of resources. Resource development efforts such as grant proposals should be targeted to move the institution in the desired directions, rather than pursuing dollars for projects that might even inhibit the achievement of the institutional vision. A committed chief executive with strong support from the board is the key element undergirding all other commitments.

Involvement

With strong leadership from the board and the CEO, the planning process can productively involve people from the campus community and the broader community. A community advisory committee could work with the planning council to help identify the critical issues and the alternative solutions and initiatives. Both groups can react to the issue papers and provide a balanced perspective on the desirable future. A board planning committee might work

with the CEO in the development of the first strategic plan or, if schedules permit, the entire board might fulfill the role of a community advisory committee. The community college needs this type of broad involvement and support in the development of future directions.

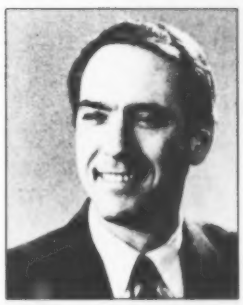
The planning council should have faculty, staff, student, and administrative representatives who are respected by their peers. They can provide leadership by holding campus hearings at critical points in the deliberations and by inviting key people to give testimony in their areas of expertise. Planning meetings with department and division leaders are also critical in providing a transition to operational planning.

The potential

We must recognize that either an institution is developing or it is deteriorating. Developing institutions are involved in coping with their realities; when an institution understands its realities, it can make wise decisions about its future. Traditional long-range planning has not been a particularly helpful tool for community colleges because of rapidly changing conditions. In the approach recommended in this chapter, an institution goes through an annual cycle of activity to update its view of the desired future. It is an approach that seeks to link the allocation of resources with strategic choices. It fosters collaborative relationships and helps build a collective vision. Strategic planning at its best is no more and no less than wise decision making.

Section 3

Marketing Today's Community College



Brice W. Harris

Brice W. Harris is assistant to the chancellor of the Metropolitan Community Colleges in Kansas City, Missouri, where he is responsible for marketing, communications, and enrollment management in the three-college district of more than 40,000 students. He is a nationally recognized consultant and lecturer on institutional advancement and is a past recipient of the Steuben Apple Award for faculty excellence at CASE conferences and workshops.

Harris is a past chair of the CASE Summer Institute on Recruitment and Marketing and has served on faculties for meetings of the American Association of Community and Junior Colleges, the National Research Center for College and University Admissions, and numerous college and business seminars. His writings on advancement have been published in many higher education journals.

Chapter 8

The Marketing Plan

Brice W. Harris
Assistant to the Chancellor
The Metropolitan Community Colleges

"I am too busy to plan." This is an often heard comment by professionals in all types of jobs. Marketing and enrollment management professionals in community colleges are no different. Many believe they are too busy to plan, when in reality they are too busy *not* to. This chapter outlines a simple and easy method of developing a marketing plan designed to help your institution achieve its enrollment goals.

Benefits of planning

The best answer to the question of "why plan" is that it makes life as an advancement professional easier, and it makes the institution more successful. Planning provides a frame of reference for everyone involved. An effective marketing plan is a kind of snapshot of where the institution has been and where it is headed. This picture gives college employees a means of measuring the success of the program and provides a practical guide for actions to market the institution.

Further, planning forces those involved to establish priorities, identify the strengths and weaknesses of the college, and allocate resources in light of the institution's goals.

Step 1: Form a marketing task force. Marketing, unlike some other administrative tasks, is a people-centered process. Without an active group of people representative of all areas of the college, the plan may be limited and have little chance of being implemented. A task force or committee of at least seven people but no more than 15 should be formed.

Representation on the task force should be determined by a number of factors. All segments of the academic product should be represented. In many institutions this will include someone from transfer education, vocational education, continuing education, and service to businesses. If the institution has other areas of educational emphasis in addition to these, they should also be represented. The financial side of the institution, the public relations office, and student services should also be represented. To keep the president informed of the task force's progress, include someone who is in close contact with the president's office.

Organizing a special marketing task force has several benefits. It establishes an institutional commitment to marketing, generates good ideas, and helps with the work. It also acts as a sounding board for new ideas, helps keep the college employees informed, and provides support at budget time.

On the down side, the task force may occasionally suppress a good idea, take too much time to get things done, or create more work than resources will support.

Good planning requires good people. Above all, recruit a task force of energetic people who look for ways to get things done rather than excuses for why new ideas won't work.

Step 2: Review the mission. Once the task force is in place, the first step in marketing a college is to review and, if necessary, revise its mission. It is difficult to market a program or service if the product is unclear. Forcing the group to review the mission by reading it out loud during an early meeting can be revealing. Frequently those involved will be heard to exclaim, "I didn't know we were doing that," or "My program doesn't fit into that anymore." Confusion on the part of employees, board members, and even students can result in marketing problems.

This mission review should involve the president either directly or in an advisory capacity. It is especially effective if the president can be present to articulate the mission to those involved in planning. The insight and understanding of the college can best be explained by the institutional leader.

Step 3: Review available research. Build a good marketing plan based on good data. College marketing cannot begin without identifying the community needs that must be satisfied. That means the more the task force knows about the community—the current student body, the employees, the competition, and the environment—the more likely it is to develop a successful program.

Most institutions have research data available in many of the areas mentioned above. If not, community assessment is an excellent method for getting the information you need. This can be accomplished by current research staff or by an outside agency. It can be done by phone, personal contact, or mail. The goal of your research effort is to determine the community's perception of the college and other educational institutions; what it thinks the college should be doing and should *not* be doing; and how the various groups in the community

obtain their information about the institution. Remember, you are directing your research effort at potential customers; what they think counts.

The student body is probably the most important group with which you must talk. Focus groups and surveys are particularly useful in finding out what students think about their college and its competitors. Get their opinion about program mix, pricing, location, time of day, learning format, college services, and college personnel before beginning to develop your plan.

The faculty, staff, and administration of the college can help in assessing the internal climate. What the people who deliver the services to the students feel about the college can help determine marketing direction. Moreover, the very process of asking employees their opinions of the institution can be productive. Taking action based on those findings will help establish a collegial atmosphere and foster further cooperation. Annual assessment of all employees does not have to be expensive, or time-consuming, to yield valuable results.

Those charged with marketing an institution need to obtain practical information on its main competitors. Here's one method that works: Employ two or three high school juniors or seniors to make inquiries to several area colleges. Ask these students to keep careful records of the mail they receive and any personal contact from the colleges. This information should include date, type, what the student understands about the message conveyed, and his or her impression of that message. Interview the students several times during the year to gain valuable insight into competitors' strategies. When selecting competitors to evaluate, don't overlook the branches of the United States military and local proprietary schools.

All colleges operate within a special demographic environment that can have broad implications on the marketing plan. Reviewing local demographics is essential. There are numerous statistics regarding other colleges, population trends, employment rates, and high school enrollment patterns, all available for the asking. Select only the reports you believe will be useful. Too much information can be just as troublesome as too little.

Step 4: Set enrollment goals. Everyone involved in the management of college enrollment should know the actual enrollment goal for the coming year. The task force should set these goals after considering input from all academic departments and the financial officials of the college, as well as the president. Besides the total head count or full-time equivalency, the task force should set target goals for each program, age category, gender, and ethnic background, and also for type of education, such as continuing education, education provided to businesses, vocational education, and transfer education.

This goal-setting process provides the context for future enrollment management. If these goals are clearly stated, then the marketing task force can take action to increase or decrease enrollments in given areas. If there are no clear goals, the institution may simply attempt to attract more students without regard for the areas that really need attention. The result is likely to be overall enrollment growth for the institution, but decline of individual programs.

Step 5: Identify target markets. Once you have established enrollment goals, identify the target markets to be served. As a result of the mission review conducted in Step 2, you should be able to identify the large groups. For most community colleges these include:

- "traditional" students (recent high school graduates);
- potential students who have been out of high school for only a year or two;
- re-entry men and women who are usually between the ages of 25 and 45;
- currently employed workers seeking upgrading of skills or retraining; and
- older adults (usually over 55).

While you may describe the target groups at your college in other ways than these, be careful that the groups you define are not so broad as to be unworkable.

In order to market specific programs and services effectively, you must find appropriate ways to segment these large groups into smaller ones. The more specific the group's definition, the more it will respond to specific marketing activities. If, for instance, you plan to market a seminar on toxic chemical firefighting, you might find it especially effective to conduct a direct mail campaign using the organizational mailing list of the firefighters union. Whenever possible, market specific programs to specific target groups, and make a point to identify those groups in the marketing plan. A typical community college might include 30 or more target groups. Some of these will be very large, and some will include only a small number of prospective students.

Step 6: Develop specific marketing activities. Throughout the recruiting year, you should conduct numerous activities that attract students to the college. These activities should constitute the bulk of the marketing plan, and each should be aimed at a specific target group. An annual luncheon for area high school counselors, for example, should be designed to increase the number of recent high school graduates who are referred to the college. In the marketing plan, spell out the particulars of the activity and include the name of the individual at the college who is responsible for that activity. Specify the target group to be served and the timeline for implementation. (See Figure 8-1 for a sample marketing activity chart.)

Also important to the marketing plan are internal activities that do not directly involve potential students. Developing quality program brochures, catalogs, and other publications, for example, is an important part of successful student recruitment. Although the planning of a particular brochure may not seem like marketing, it is a vital part of the marketing plan as are plans to remodel the physical area where students come to enroll, to provide in-service training for recruiting staff, or to acquire necessary computer hardware and software to manage enrollments.

Step 7: Designate an evaluation measure for each activity. Note that Figure 8-1 contains a column for evaluation measure. Perhaps the most difficult and yet most essential component of a successful marketing plan is designating such an evaluation measure for each activity. In some instances, the evaluation

Figure 8-1: Sample Marketing Activity Chart

Activity Title	Target Group	Brief Description	Evaluation Measure	Completion Date	Estimated Cost
1. Fall search	High school seniors	Direct mail project including brochure, letter, and response to 10,000 seniors.	Successful if response rate equals 5 percent.	Mailed Sept. 15	$7,000
2. Campus Visit Day	High school juniors and seniors	Day-long activity for area high school students designed to get them on the campus.	Successful if 300 students attend.	Conducted in early April 1989	$1,000
3. GED telemarketing	GED test-takers	Make telephone contact with students who have recently completed the GED and encourage them to visit the campus.	Successful if 12 percent of students come to the college for a visit.	May 1989	$400
4. Community leaders breakfast	Area civic leaders	Hold a breakfast meeting once each month for 10–12 leaders to tell them more about the college.	Send a survey to each attendee to find out how the college can assist them or their business. Successful if 75 percent of the surveys returned.	Begin Jan. 1989	$1,200
5. Fall newspaper ad	General public (especially the 25- to 45-year-old market)	Publish 4 ads in area weekly newspapers.	Successful if 250 people respond by sending the response coupon.	Aug. 1989	$3,100
6. Nursing Program Special In-service Direct Mail	Nursing professionals seeking continuing ed.	A direct mail campaign designed to attract nurses to a special seminar.	Successful if 12 percent respond by enrolling in the activity.	Oct. 1989	$3,000

can be quite simple. If you are attempting to generate inquiries, for example, you can evaluate your efforts by recording the number of inquiries resulting from the activity. If you've sent out a direct mail promotion, you can evaluate your efforts by figuring the percentage of recipients who respond. If you're trying to get press coverage of a vocational program, you can count the column inches or seconds of broadcast time.

To evaluate other activities, you may need a more creative approach. How, for instance, can you measure the success of an image-building breakfast program for community leaders? You want the event to generate more training opportunities, but you probably won't succeed in signing up many clients as your guests depart. You could, however, follow up a week or two later with a pencil-and-paper survey. Ask the attendees about their impression of the college and their desire or need for training. Not only will your survey generate specific numbers with which to evaluate the event, it may provide you with useful marketing leads.

Step 8: Develop a budget for each activity. In many organizations the budget drives the planning process. What the fiscal officer puts in the budget is usually what gets done. This is backwards: The plan should drive resource allocation. If the plan is well-conceived and includes specific goals and measures of evaluation, the institution should make available the resources that are needed.

There is no simple formula by which you can predict how much money it will take to market your institution. Perhaps the best way to arrive at the ideal plan is to proceed as if money were no object. Prioritize marketing activities with your overall enrollment goals in mind. Once the process is completed, the task force must make recommendations to the president and negotiate the final plan.

Step 9: Implementation. The creation of the plan is often the most difficult part of the marketing process. But the plan is only as good as the effort to put it into practice. This is no time to falter. Work actively to ensure its success. Avoid the temptation to sit back and let it happen. The task force should meet frequently during this period to monitor the activities and to review the available data on inquiries, applications, and enrollment.

Step 10: Plan evaluation. As part of the ongoing work of the task force, you must evaluate activities as they are conducted. You will pass up many opportunities to take corrective action if you wait until the end of the year to assess your marketing performance. If a fall search mailing does not generate the necessary response, a timely review will permit you to conduct a second mailing. A fast response can correct the deficiency and put marketing back on track. In most cases, if the necessary resources and time have been given to the marketing effort, the results will be positive. But when you do discover problems, a prompt review may enable you to limit the damage.

Conclusion

The critical area of community college education in coming years may well be enrollment management. Two-year colleges, like most other organizations, seem to thrive during periods of economic growth. Maintaining growth is the responsibility of everyone in the institution, but the accountability, alas, falls most heavily upon the shoulders of the marketing professional. It is a difficult weight to carry, but with thoughtful marketing planning, the professional can turn that burden into a bright opportunity.

Barbara L. Wilcox

Barbara L. Wilcox is director of public relations for Moraine Valley Community College in Palos Hills, Illinois. Her responsibilities include media relations, advertising, newsletters, sports information, special events, and a variety of other areas.

Wilcox has been in community college public relations for eight years, having spent four years at College of DuPage in Glen Ellyn, Illinois, as coordinator of community relations.

She has a bachelor's degree in journalism and public relations and a master's degree in communications from Northern Illinois University. She is also editor of *Counsel*, the quarterly newsletter of the National Council for Marketing and Public Relations, and is a past District III director and a past national secretary.

Susan E. Gorski

Susan E. Gorski is the marketing manager at Moraine Valley Community College. She serves as an in-house marketing consultant for all areas of the college and works on a variety of projects including direct mail, special events, new publications, and developing marketing plans.

Gorski received a master's degree in education from Loyola University of Chicago and a master's in management from the J.L. Kellogg Graduate School of Management of Northwestern University where she specialized in marketing and nonprofit management. She interned as a marketing consultant at the School of Education at Loyola University.

Gorski presented a session entitled "Marketing to High School Students" at the 1989 annual conference of the National Council for Marketing and Public Relations.

Chapter 9

Creating Image and Identity

Barbara L. Wilcox
Director of Public Relations
Moraine Valley Community College

Susan E. Gorski
Marketing Manager
Moraine Valley Community College

Let's suppose that you wanted to take a computer course at the local community college, "Wilders Community College." You saw an advertisement and story about the college in the local newspaper, and you received an attractive brochure in the mail that listed the benefits of taking a course there. A friend at work took some courses at the college and was impressed by the faculty.

Because the ad and the brochure listed different starting dates for the course, you decided to call and get the correct information. When you called, you were transferred and put on hold several times because no one could answer your question. The last person you talked to suggested you call the following week when the person with the information would be back from vacation.

What was your final image of Wilders Community College? As you hung up, you felt frustrated and somewhat misled by the ad, the brochure, and your coworker. Your personal contact with the college showed you that its staff was not interested in meeting your needs despite the claims in the brochure and the ad. That impression of poor customer service will probably stay with you.

Wilders Community College obviously knows the importance of writing copy, designing ads and publications, and having stories published in local papers, but it does not have a marketing orientation. A college's image develops from a combination of many sources, including what people read, see, and hear about it as well as their personal experiences with its staff. All of these

sources of information need to be consistent in order to project a positive image to the public.

A marketing orientation

An organization has a marketing orientation if it responds appropriately to the needs of its various constituencies with respect to product development, price, communications, and channels of distribution.

A community college that has a marketing orientation tries to gather information about the needs of its constituencies, acts to meet those needs, communicates effectively with the public, and constantly evaluates its programs and services in order to better serve customer needs.

The college's internal and external constituencies include students, alumni, district residents, faculty, board members, staff, and local media. Each of these groups of internal and external constituencies has its own image of what the college is and what it should be.

The college's identity consists of what it actually is. Its image is what people perceive it to be. A college has only one identity, but many images. There will always be some time-lag between identity and images because the college keeps changing, and it takes time for old images to be replaced. Extreme differences between identity and images, or between images perceived by different constituencies, are symptomatic of problems that need to be addressed before the college's reputation is damaged.

Everything about a college affects its image. First impressions can be extremely important, so try to view your college as if you were a prospective student seeing it for the first time. Is the college name prominently displayed on signs outside the buildings? Are these signs clearly visible from the road? Do the individual buildings have signs? Does the campus look attractive? Are the hallways well-lit and colorful? Are the classrooms, lounges, and rest rooms clean and comfortable? Does the library have new books and current periodicals? Are classrooms easy to find?

You must consider all of these factors because they all affect your publics' perceptions about the college.

Internal constituencies should have the clearest picture of what the college wants its image to be and what its identity really is. Staff members help shape the college's identity and image through their plans, actions, and dealings with the public. They can accept or reject the college's attempts to project a consistent image and, through their actions, determine whether or not the overall image will be favorable. Wilders Community College may say that it wants to serve the public in a warm, friendly way, but the actions of the staff gave a clear message that they did not want to be bothered by potential students or did not know enough about courses the college offers.

External constituencies construct their images of the college from numerous sources, including news articles, college publications, information from other people, and personal contacts with faculty and staff. If courses are offered at inconvenient times, if mailings are received after courses begin, if your neighbor had a bad experience and complains to you, or if the college's messages are inconsistent, then the image you have of the college will probably be negative, despite beautiful brochures and the carefully worded copy describing how much the college wants to serve you.

Publications and news articles can create awareness, knowledge, and preference in prospective students, but personal contact is usually necessary to encourage application and registration. A true marketing orientation is very important for sustaining a positive image of a community college because staff members need to realize that all of their interactions with customers influence the customers' perceptions of the college.

Word-of-mouth referrals are one of the best ways to communicate a positive image. Marketing research has shown that one satisfied customer may tell three to five people, but one dissatisfied customer may tell eight to 12 people about his or her experiences.

How can your community college create a marketing orientation? The best way is to try to view your college through the eyes of its students. It is the administration's responsibility to ensure that everyone in the college knows and understands how having a marketing orientation should affect his or her actions with customers. If the administration believes that the college should be responsive to customers' needs and realizes that customer service affects image, then it needs to look at practical ways to make changes that will create or increase a marketing orientation for the entire staff.

Before your college makes any changes, however, you should conduct marketing research to evaluate its current image. You can use focus groups, surveys, or suggestion boxes; you can talk with current and prospective students, high school administrators and faculty, and your transfer colleges' admissions staff; you can attend student council meetings and monitor stories and editorials in local newspapers and the student newspaper. Whatever information you receive should be communicated to your public relations and publications staff members so they can use the feedback to improve their messages to internal and external constituencies.

Moraine Valley Community College conducted a survey to find out why students attended the college. The result was a list of benefits ranked in order of importance. The marketing department uses this list when determining which benefits should be mentioned in publications.

Because different audiences are interested in different benefits, pay attention to each group's particular needs. For example, female students between the ages of 21 and 40 may be interested in the fact that child care is available on campus. Part-time students who are employed may be interested in classes held during the evening and on weekends.

It also helps to research other colleges in your area. Call and visit other community colleges as well as four-year colleges and universities to find out how they answer their phones, respond to inquiries, and write and design publications. This marketing research is an effective way to get new ideas and learn from your competition.

In order to find out how your college is dealing with customers, pretend that you are a potential student. Call and ask for information about a program or course. Record your expectations as a customer and how you were treated by your college's staff. How long did it take for someone to answer the phone? Were you put on hold? For how long? When you got to the "right" person, did he or she answer your question? Was he or she polite? Ask the person to send you some information and record how long it takes to get the response. What did the follow-up piece look like? Was it the information you requested? Did you receive a personalized letter with the information, or did you get a photocopied form letter? Was the information in the package consistent or contradictory? Was the material current?

While some of the staff members at your college may view this research method as spying, it is extremely important to monitor customer service on a regular basis in order to ensure quality control. Try to keep your activity anonymous so you can find out how your staff is really treating prospective students. You may be happily surprised, or you may find new ways to improve customer service at your college. Remember, a customer that is not treated well will not be a customer for long. It is more expensive to recruit new students than it is to retain current students.

When you saw Wilders Community College's ad, newspaper story, and attractive brochure, they projected a positive image that made you aware of course offerings and sparked your interest. This information reached the right audience (you) and projected a positive image. Unfortunately, the ad, story, and brochure contained inconsistent information that you were unable to correct with a telephone call. The positive image was not, in fact, verified by your experience.

Mailing a brochure to a select group of people is a form of direct marketing. Direct marketing is a very effective type of promotion because the organization can choose a particular group of people and design a promotional piece that will appeal to them.

Choosing the appropriate audience and developing a promotion for that specific audience can make the difference between success and failure. The first step of successful direct marketing is to determine your purpose or goals. The next step is segmenting the population. You can use a variety of distinctions to segment your audience, including:

- demographics;
- past user/current user/nonuser;
- geographic divisions; and
- psychographics.

Look at the segments and choose the group that would be most interested in your offering—this is your target audience. Decide which benefits will appeal to them based on their presumed needs and desires.

Don't plan the promotional materials until you have chosen the target audience. This may seem obvious, but many people write the brochure or design the ad first and then try to figure out who would want to read it. Remember, the type of promotion should be determined by your goals and your target audience. List the benefits that are important to that specific group. Write copy and design graphics to suit that group.

It is sometimes tempting to combine separate audiences and send them the same promotional piece. This practice may seriously lower the effectiveness of the promotion and may even damage the image of the college. For example, mailing a brochure about continuing education for medical personnel to the list of child-care center participants is inappropriate and makes the college look silly to the parents of the children.

Use printed material to create awareness of or knowledge about products or services, price, and distribution channels. Printed information is one of the most important methods that a college has to communicate with its internal and external constituencies. The college needs to control all of its publications and public relations materials to ensure that a consistent and positive image is disseminated to all constituencies.

Moraine Valley instituted a policy that requires that all publications, including letters sent to large groups of people, be approved by the director of publications. In addition, all ads and media relations are coordinated through the director of public relations.

When combined with a marketing orientation, public relations and publications help you build and improve your college's image. Because image and identity need to be developed and reinforced on a continuous basis, the messages of marketing, public relations, and publications should be coordinated so that they are consistent. If these three areas present conflicting images of the college, its constituencies will become confused and the result will be a negative one.

Public relations: Image and identity

Public relations plays an extremely important role in shaping a college's image and identity. Public relations is not just writing news releases, taking photographs, or sending out newsletters. Every aspect of public relations contributes to the image and identity of a college.

Conceptually, public relations is difficult to define. If you ask 10 people to define public relations, you will probably get 10 different answers. Public relations is an abstract term, which means different things to different people.

To most people, it is communicating a message, through a variety of methods, to an audience. It is informing the public or target audiences by providing information to them in an organized and planned approach.

An article in a newspaper, a newsletter, or a form letter leaves the reader with an impression or image of an institution. That image can be good or bad. Public relations professionals must recognize that what they do contributes to the image of the college.

The internal audience. Building a positive image for an institution through public relations must begin with the most important internal audience—the college's faculty, support staff, and administration.

The public relations office must design and implement a strong communications program for the staff—including everyone from the president to the switchboard operator and the maintenance staff. A college's employees are the college's best good will ambassadors and image builders—*if* they are kept informed.

A staff newsletter can enhance a college's internal image and identity. The staff newsletter is one of the most important documents that will ever leave a public relations office. It keeps the staff informed about what is happening on the campus—events, meetings, information about people—and is an excellent image builder for the college staff.

Don't guess at what to include in the newsletter: Ask your readers. At Moraine Valley, we survey the staff every fall to find out what they think about our newsletter and what they would like to see included or excluded. And while it is impossible to make everyone happy, we have received and incorporated in the newsletter many excellent suggestions and ideas.

Last year, for example, we learned that the staff wanted more information about various building projects on campus. They wanted more information about people—new employees, promotions, resignations, marriages, and conference presenters; and they wanted computer-related information to help them keep up with technological changes on campus. We added "The Computer Corner," a page containing the computer tip of the week and a question-and-answer column called "Dear Dr. Computer."

In addition to providing the staff with new information, these changes helped build morale and let staff know that the college cares about their suggestions and needs.

A newsletter is not the only way to improve your college's internal image. Each year, Moraine Valley presents several awards to faculty, support staff, and administrators, including the Professor of the Year Award, the Master Teacher Award, the Innovator of the Year Award, and the Robert E. Turner Service Award. We publish a special bulletin, "Moraine Valley: A Commitment to Excellence," featuring a two-page story about each award recipient and photos. We mail this special bulletin in the spring to all college employees as well as several targeted community groups such as high school superintendents and local features editors.

While this is a low-cost piece, it has been a real boost to the internal image of our college. Faculty and staff members are impressed that we take the time and money to produce a publication especially for and about them. The word-of-mouth awareness of this publication on campus is impressive, and it has enhanced the internal image of the public relations staff.

The posters, fliers, and other printed material displayed on your campus are part of *your* public relations—even those pieces prepared by outside organizations. When these are unappealing or unprofessional-looking, the image of your institution may suffer. The college should not only monitor but control who posts what on campus.

At Moraine Valley, outside organizations can display pieces in only one location—a bulletin board in the student center. A member of the public relations staff enforces this policy by taking a weekly trip through the campus and removing any outside pieces found in the wrong place.

The public relations staff itself is a vital element in building an internal image. The staff must work to build relationships with the faculty and other staff members. The public relations office should do whatever it can to help college staff, such as routinely sending, on a timely basis, news articles and news listings of events to the person responsible for coordinating an activity. This seemingly trivial courtesy can go a long way to promote good will.

Faculty and staff members can make or break the public relations office. If you have a good working relationship with them, they will inform you of story ideas, call you with student success stories, and alert you to photo opportunities. Conversely, if you do not have such a relationship, they will never call you with ideas—even after you send them memos or call them on the phone.

External audiences. Communicating with audiences outside the college, such as community residents, alumni, legislators, and business and industry leaders, is critical to a college's image. Because of their comprehensive mission, community colleges have a responsibility to keep the community informed. They often place a stronger emphasis than four-year institutions on communicating with community residents and other constituencies of the college district.

External audiences also include chambers of commerce, mayors, legislators, Rotary Clubs and other service groups, library boards, and village officials. While it is impossible to deal with all of these audiences individually, you can use a few strategies to enhance the college's image and identity with these groups.

Several months ago, we realized that Moraine Valley could do more for community groups. We launched a community newsletter called *View of the Valley*. This quarterly publication is in a newsletter format and highlights items of interest to these external groups, such as enrollment trends, new facilities, and new programs and partnerships with business and industry.

You can communicate with external audiences through a variety of methods—all of which affect the image and identity of your college.

1. Newspaper coverage: An article in the local newspaper is a good way to communicate with the community, but it will not boost declining enrollment in a program. It can, however, increase the awareness and visibility of your college, keep the community informed, and build the image and identity of your college.

Probably the most important element of a successful media relations program is for you and your public relations staff to get to know reporters and editors, to understand what reporters and editors look for in news stories and how they decide what stories to publish.

If you have a good relationship with the media, you'll probably get a better response when you call with a story idea, when you have a crisis, or when you want to initiate a special project. If there is a controversy involving the college, the newspaper editor is more likely to call to get your version of the story.

Last year, for example, we decided to try a promotional idea for Moraine Valley's new Center for Contemporary Technology. We used our good relationship with the media to help us achieve our goal. We asked the local daily newspaper to publish a special section on the new facility. It was a 12-page, tabloid-insert section with a four-color cover. We wrote the copy and took the pictures; the newspaper agreed to sell the ads, design the layout, and print the 150,000 copies.

This is a prime example of what a good relationship with a newspaper can do. The newspaper editor knew our staff. He was confident that we would meet the deadlines; we had spent a great deal of time establishing our credibility.

While you cannot control what a newspaper prints about your college, if you build relationships with the newspapers, your college is likely to receive favorable coverage and cooperation. Favorable stories mean an increased awareness and an improvement in the image and identity of your college.

2. Advertising and media buying: In most respects, you can control the image and identity of your college more effectively through advertising than through news articles—you pay for that space, so you can do what you want with it.

Ten years ago, college advertising meant a display ad in the local newspaper. Today, because of the competitiveness of higher education, advertising means billboards, bus placards, classified ads, community guide ads, and ads on a game board and in cable TV guides distributed by the local grocery store. The possibilities are endless.

While there are more opportunities, at the same time you must consider carefully which methods will convey the appropriate image. Billboards and bus placards, for example, may not convey the image you want.

You must decide how to spend your advertising dollars most effectively. No one can afford to place an ad with every sales representative who calls. Consider the cost of the ad in terms of the demographics of the audience: Who are the readers and how many will you reach?

Graphic design is important to your ad. Readers see the graphics in an ad first. Balloons floating in the sky, for example, make a very different image than a line drawing of your student center. Make sure that the ad projects the right image. If you are in doubt, test it on other staff members, students, or community members.

Community colleges must continually focus on the quality of the education they offer. While you might have other messages as well, do not mix them—that only confuses your readers.

Using a theme also contributes to image and identity. If you pick a theme for your advertising campaign, use the same theme for a specific period of time—one or two years. If you switch themes every time you run an ad, your image and identity will be confusing to your readers. Be consistent and do not be afraid of repetition; research indicates that repeated exposure in advertising works.

Testing and tracking ads are important components of media buying. Although you may think an ad is effective, you never really know until you test it and track responses. First, show your ad to individuals whose demographics match those of your intended audience. Ask your sample audience what they think of the design, what message the ad conveys, and whether it would prompt them to take action.

Tracking responses to an ad can be time-consuming, but the end result is well worth the effort. To track an ad, include a made-up name ("Pat Smith," for example) in the ad as the contact person to call for more information. Make sure that you alert the people who will be answering the phone and providing the information to use the name "Pat." Ask these people to keep track of the number of calls they receive for "Pat."

Another way of tracking responses to an ad is to pay for a response card in the publication in which the ad runs. In fact, some publications include a response card in each issue at no additional cost for all organizations that advertise.

3. Signage: Signage in buildings as well as directional signage on the perimeters of a campus can have a dramatic impact on a visitor's image of a campus. If a student or visitor cannot find a building or a room in a building, he or she will be left with a poor image of the college.

The public relations office should be responsible for signage. Although many colleges assign this task to the facilities or maintenance department, it is the public relations office that deals with image and that has staff members trained in design—an important element of signage.

4. Special events: A new building dedication, a 20th anniversary celebration, and a campus-wide open house are all part of the external public relations effort. *All* campus events, whether "special" or routine, should project a positive image of the institution.

The name and theme selected for your event are almost as important as the event itself. While the name and theme can be fun, they should reinforce your

mission and reflect your objectives as an educational institution. For example, the theme we selected for our 20th anniversary celebration was "20 Years of Building Strong Futures."

Open houses and anniversary celebrations can effectively build a college's image—if you take the right approach. While clowns, magicians, and music will attract the community, your real focus should be instructional exhibits and demonstrations. Too much emphasis on festivities will create an inappropriate image for those visiting the campus.

Dedication and groundbreaking ceremonies for new facilities tend to be more formal occasions, and the event should reflect the purpose of the occasion. While interesting highlights, such as a robot cutting a ribbon, add to the excitement of the occasion, they should be kept to a minimum.

The public relations office should coordinate all campus-wide special events so that they convey an appropriate message to the audience. Because of the impact on image, it is important that events of this type be carefully planned and implemented.

Publications: Image and identity

What a college publishes is a tangible view of its image and identity. Every written piece that is mailed or distributed in association with the college makes an impression on the reader. The types of pieces and the way in which they are presented affect the image and identity of the institution.

A well-written, well-designed piece conveys a positive image. Grammatical and spelling errors and scribbled designs photocopied with smudges convey a haphazard, unprofessional image. Because a college wants to maintain a professional, positive image, it is important to monitor everything published by an institution.

At Moraine Valley, all pieces that are sent to a large group of people must be approved by the publications office. With the advent of desktop publishing, many departments might be tempted to create their own brochures and fliers. Since our graphic artists are trained to design, we insist that publication design be done by our design staff. This gives us control over what is published. Departments of the college are not permitted to produce their own pieces. We enforce this policy with print approval forms. The copy center will not reproduce a document unless it has a print approval form signed by the director of publications.

Direct mail, letters, posters, and fliers should be reviewed for style and grammar. They should be designed in an attractive, easy-to-read format. The consistency with which this occurs will help the institution maintain a positive, professional image.

Perhaps the most important consideration when you are putting together a publication is the intended audience. A piece designed and written with the

wrong audience in mind can damage your institution's image. Specifying the audience can be especially challenging at a community college because there are so many constituencies. To simplify the process, we break down our publications into two audience categories—general and targeted.

General-audience publications. Most community colleges publish one major general-audience piece each term—the class schedule. Since the audience contains all of the residents in the community, the piece cannot be directed toward a small segment of the readers. The class schedule, therefore, tends to be purely functional—but it does not have to be. At Moraine Valley, our class schedule is designed to entertain and inform a diverse population and to outline the variety of options and services that we offer.

The class schedule can focus on a topic relevant to the institution—a new building, services to students, benefits to the community. These topics can become themes from issue to issue. The consistency of theme conveys a positive image of the institution. At Moraine Valley, we not only highlight a theme in each class schedule, we keep the theme consistent throughout the individual issues from the front cover to the insert to the back cover. By maintaining the theme and addressing specific topics, we are showing that we care about the needs of the district.

Targeted-audience publications. Except for the catalog and the class schedule, most community college publications are targeted to specific audiences. While some institutions may consider viewbooks to be in the general-audience category, at Moraine Valley we have been able to target our viewbooks as a direct result of focus group research.

The focus group contained currently enrolled students and community members, including high school students and older adults. Following the suggestions of this group, we developed two targeted viewbooks, one for transfer students and one for career students.

Community colleges produce many other targeted-audience publications. For example, each year Moraine Valley publishes a direct mail piece for potential reverse-transfer students. Targeted to students in our district who are attending a four-year college or university, the piece encourages them to take classes at Moraine Valley during their summer vacation.

The piece is flashy and enticing. It tells students that although we understand that college may not be at the top of their "things I want to do this summer" list, we are serious about helping them. This message comes across in brightly colored graphics of a beach and books. The copy outlines a variety of options we offer to help them prepare for their next semester at college.

Each year, we survey the group of people who enrolled in summer classes in response to the brochure. We quote them in the brochure for the next year. These testimonials tell why the students attended Moraine Valley summer school and how they benefited from the experience. We list the most popular classes (and we make sure they're offered the following summer).

Another targeted-audience piece promoting our Employee Tuition Plan illustrates the variety of audiences we address and the need to address audiences differently. This piece informs local businesses of a special benefit we offer—their employees can attend classes at Moraine Valley at the in-district tuition, no matter where they live.

This brochure is designed with a sleek, professional appearance, creating a professional, businesslike image. Photographs of different types of workers in a college setting are interspersed throughout the copy, which outlines the many benefits we offer employers and their employees. We use graphs and charts to carry out the businesslike theme. We include testimonials from companies, such as Illinois Bell, and research from business publications to add credibility.

Letters are important direct mail pieces, and they should be targeted to a specific audience. For example, the letter accompanying the reverse-transfer brochure is upbeat and encouraging while the letter accompanying the Employee Tuition Plan brochure is affirming and congratulatory. Personalized letters get the best response, so letters should begin "Dear Mary" instead of "Dear Student."

Put your letters on college letterhead and mail them in college envelopes. Letterhead conveys professionalism and creates identity. The identity of the college is easily distinguished by the logo and design—both very important aspects of letters.

The look of a publication creates an identity for the college or a division of the college. By looking at a publication, a person should know what type of product is being described. For example, at Moraine Valley we have a family look for our viewbooks, catalog, and program brochures. When readers see the tilted picture of people and the green or cranberry border, they know it's a piece from Moraine Valley. When people see our logo and green and white colors on stationery, they know it's a letter from Moraine Valley.

Divisions of the college should also establish an identity. Communications marked with diagonal white lines and a picture of a puzzle piece come from our Alternative Learning Department. Blue, linen-quality paper with gold-embossed stars identifies promotions for our foundation's Celebration 89! fund raiser.

You don't have to create a separate logo for every department or division of your institution. That would dissipate the image and identity of the college as a whole. While each division should have its own identity, the division's identity should not overwhelm that of the institution.

Consistency in style, although perhaps perceived only subliminally, indicates image. For example, the correct name of our institution is "Moraine Valley Community College." It is tempting to shorten the name to "MVCC" or "Moraine." But it is our style to refer to the institution as "Moraine Valley Community College" on a first reference and "Moraine Valley" in all subsequent references. We use "MVCC" only on signage.

In order to bring all of these elements of image and identity together, the publications department of a community college must have its own image and identity. Client relationship plays an important role. When the publications office has a good relationship with other members of the college staff, the staff learns the importance of presenting a consistent and professional image. They consult the publications staff on style, and they bring their pieces to the publications office for approval.

The publications office can also establish good external relations. One way in which we did this was to use in a brochure photographs taken by 10 local high school students. The "10 Good Reasons" brochure featured a photograph with each reason why a student should attend Moraine Valley. We printed the name and high school of each student photographer. This gave the students a positive feeling about the college, and it gave us a quality brochure with which our high school audience could easily identify. Using student photos increased the pass-along and word-of-mouth value of the piece.

Remember that a college's publications, be they letters or catalogs, are vital to the institution's image and identity. In the eyes of its audiences, the quality of these pieces reflects the quality of the institution as a whole.

Conclusion

How can Wilders Community College improve its image? Its staff members need to give a consistent message to the public by checking and verifying all information before any publication leaves campus. All ads and other promotions should list the telephone number of the department that can answer questions. The people who take these calls should know the answers or how to get them quickly.

To begin the task of improving your college's image, first establish your goals and plan the steps needed to achieve them. Are there substantive problems that need to be addressed? Or is the problem truly one of image? If so, you need to assess where you are at the present time and decide where to go from there. Should you begin by informing internal constituencies of the college's true value to the community? Or should you improve relations with local media? The answer will depend on the situation at your college.

This chapter has covered three areas—marketing, public relations, and publications—that the college can control. You can make sure that your publications, ads, and news articles are coordinated and present a consistent image of your institution's true identity. You can also introduce a marketing orientation in your college by conducting market research, monitoring your customer service, and improving the college's responses to prospective and current students' needs.

The image of a community college is affected by many variables, some of which the college cannot control, such as location, economic environment,

competitors' reputation in the community, and past image or identity problems. It is all the more important for marketing, public relations, and publications to do everything they can to create a positive image and identity for the college by using those variables that they can control.

Johanna H. Hudson

Johanna H. Hudson has headed the public relations, publications, and media relations programs as director of college relations at Edison Community College in Fort Myers, Florida, since 1981. Her publications, information campaigns, and professional contributions have won numerous state and regional awards for excellence. She has also served on the faculties of national and regional conferences, sponsored by the Council for Advancement and Support of Education and other organizations, on marketing and recruitment for two-year colleges.

In addition to her participation in CASE, the Florida Association of Community Colleges, and the Florida Public Relations Association, Hudson is active in the community. She serves on a bank board of directors and is a member of the Judicial Nominating Commission for the Florida Second District Court of Appeals.

Chapter 10

Public Relations

Johanna H. Hudson
Director of College Relations
Edison Community College

The legendary public relations practitioner who hammers out three press releases in the morning, plays a round of golf in the afternoon, and goes to cocktail parties in the evening has expired. The Hollywood press-agent type whose primary responsibility was publicity is finally, mercifully, extinct.

Today's community college public relations position requires a professional who has appropriate academic credentials as well as learned administrative, management, and marketing skills. He or she is involved in forecasting, research, and analysis. Ideally, this professional reports directly to a president who understands that a public relations program is key to the institutional mission. As respected members of the college administration, public relations professionals are considered to be far more than technicians. They are an interactive part of the college's policy-making team; and they have a bright, articulate staff and the up-to-date equipment necessary to keep pace with our ever-changing world.

> Any public relations person who is with it today is relating to students, faculty and staff on his campus as well as to the public in his city, state or region. He or she has been infected with the attitudes of the new student, with the desire for truth, honesty and lack of hypocrisy. He has long known how newsmen hate sham, pretense, lies and cover-ups. He knows it is his duty to explain his institution to those constituencies who support it through gifts, taxes or public approval (Woodress, 1976).

The public relations professional must be ethically sound and courageous, able to meet challenges successfully and intelligently by using the communication vehicles at hand. He or she must make decisions based on clear judgment, use criticism wisely, and remember that praise is better to give than to receive. Anyone who needs continual "stroking" should go into politics, not public relations.

Lincoln laid the PR logs

Persuasion is a major key to successful public relations (Persons, 1946). A study of Abraham Lincoln's presidential years may give practitioners insight into one man's expert use of public relations.

Lincoln's approach to public relations included:

- a clear knowledge of his purpose and a clear belief in it;
- confidence in his ability to win others to his side;
- unlimited patience;
- a wide knowledge of available means and how to employ them; and
- the expenditure of the time and thought required for planning and executing his procedures (Persons, 1946).

Consider these seven characteristics suggested for the ideal institutional relations professional. He or she:

- has a deep dedication to higher education and an understanding of its many facets;
- has a dedication to the institution and works continually to understand it better;
- is accepted as a member of the administrative team by the governing board, the chief executive, fellow administrators, the faculty, students, and alumni;
- knows the principles of good management and sound administration and clearly demonstrates this knowledge in difficult situations;
- is an expert communicator of the written and spoken word and constantly tries to improve techniques in the use of language and the transmission of ideas;
- possesses the endurance of the extrovert and the patience and analytical skills of the introvert; believes in the worth of the effort; and has the ability to ask for help and for money; and
- has the professional enthusiasm to stay current with the relevant literature in the field—including that dealing with government affairs and tax information; new techniques for institutional relations, development, and communications; the best thinking and writing by practitioners in other institutions; and the writings and speeches of educational leaders on campus and in government (Schrader and Bolton, 1972).

A person may possess all these characteristics and also be as wise as Lincoln and yet not succeed in today's world of PR. As the for-profit business sector learned long ago, it's the bottom line that counts. Productivity is where it's at.

PR should begin at home with strong internal relations

If community colleges are to fulfill their missions successfully, everyone from the board of trustees to the campus security patrol must understand that they are constantly sending messages about the institution. The faculty, administration, and, most important, the students are conveying an institutional image to parents, legislators, donors, and key influencers.

> The staff in institutional advancement has no monopoly on contact with the external constituencies of colleges and universities. . . . On the contrary, much of the world outside the campus will communicate directly with a student, faculty member, or an administrator. Therefore, the morale of a campus is probably the greatest single factor affecting its outside reputation, and it is a vital task of institutional advancement to achieve effective internal campus communications and to make whatever contributions it can to high internal morale (Muller, 1986).

It's the immediate college family who creates the most far-reaching impressions. Because of this, those closest at hand must constantly be reminded of objectives and evaluated as to perceptions (Rowland, 1986). The cost of a formal internal communications system is a small price to pay in light of the power of gossip and misinformation. Once attitudes are expressed, they become opinions, and opinions are difficult to change. The internal public relations program must work on the at-home attitudes of the community college opinion makers.

Although community college board members do not serve as a part of management, they play a key role in the public relations process. It is the board who hires and fires the college president, serves as counselor and adviser, and transports information to and from the community. Board members should keep the president informed of needs in the community and relay both positive and negative comments.

The president sets the pace and scope of the college internal relations program. Because the president directly reaches all internal influencers, the PR professional should schedule a session to inform the president of the overall PR plan and should update this information whenever necessary. The PR officer should also arrange presentations for the board, the faculty, and college committees. To avoid internal confusion during times of crisis and stress, the

president and top administrators should adopt a PR plan for handling potentially negative news, and the entire staff should be familiar with the procedures.

All faculty and staff members must be familiar with the comprehensive mission of community colleges. And they must view these often confusing purposes in a positive manner. Orientation materials should explain the institution's goals and mission. Weekly and quarterly newsletters and magazines should be sent internally, and all new publications should be distributed in-house before they reach the street.

Whenever possible, the PR officer should invite faculty and staff members to the college's special events. Giving them discounts on programs and performances encourages them to feel a sense of pride and ownership in the college as a whole. They must be convinced that their college enhances their community. Their activities should be videotaped and their smiling photos taken often. In other words, the PR officer should try to give each member of the college staff the same type of attention that a potential donor receives.

A well-planned internal communication program makes extensive use of face-to-face contact, video, telephones, publications, and computer networks. And, to be successful, internal relations must be part of an overall plan directed by professionals with an adequate staff and budget.

External relations reach the community

It is the institution's external relations program that really helps the community college live up to its middle name. This is the effort that creates an identity that ultimately leads to increased student enrollment, legislative support, and donor dollars.

External relations makes use of the printed and spoken word. It involves college media relations, publications, advertising, and special events. These functions and activities are usually a part of the overall institutional marketing program and must be closely coordinated with all areas of the college if they are to be successful marketing strategies.

Public appreciation is built through external relations efforts that include projects and programs that meet the needs of the local community. The college should look for specific needs of residents and employees and become a leader in improving the lives of its constituents. Colleges are prized "clean industries" in their districts. Many colleges are conducting impact studies on their economic contributions and then utilizing the results in public relations efforts.

When planning an external public relations program, the public relations officer must know the college's audience. He or she should use all campus resources to gather data, especially if the budget doesn't provide funds to hire an outside agency. Faculty research, student projects, and the college business

office can all provide valuable information for the study base. Material gathered for accreditation visits, institutional planning committees, and area business development groups can often prove beneficial. Usually someone out there wants much of the same information, and a college can often piggyback onto community radio and television market surveys.

College external relations encompasses:

> the broad, conscious effort of an institution to foster in the public eye: first, its identity; then, understanding of its mission and priorities; and ultimately, support in dollars, enrollment, and awareness of acceptable image (Perkins, 1986).

This means that PR professionals must study the institution's history, mission, and priorities, and must understand the people who make up its different internal and external constituencies—the board of trustees, faculty, students, alumni, and friends.

The marketing plan at Edison Community College, a Florida college of 8,000 students, clearly identifies the multiple constituencies to be served in its service district. The aim of the plan is to outline methods to meet the needs of its constituencies and to target the activities to each delineated subgroup. This plan includes the following outline:

I. Clients
   A. Credit students
      1. Traditional students
         a. Recent high school graduates
         b. 18 to 20 years of age
         c. Most enrolled full-time
      2. Nontraditional students
         a. Part-time adults
         b. Senior citizens
         c. Minorities
         d. Mid-career crisis
         e. Dual enrollment/early admission
   B. Noncredit students
      1. Professional development
      2. Personal enrichment
   C. Community members
      1. Cultural events
      2. Recreation and leisure activities
II. Financial resources
   A. Public sources
      1. State funds
      2. Federal funds
   B. Student fees

C. Private sources
   1. Individual gifts
      a. Alumni
      b. Friends
   2. Corporate grants
   3. Foundation grants

Before your institution finalizes an external PR plan, examine it thoroughly to be sure it reflects and promotes the community college philosophy. Community colleges must constantly reinforce to the community their mission as distinct from that of universities. This, perhaps, is the greatest issue to be clarified through external public relations programs.

Carefully consider components of a PR plan

It is often difficult to visualize public relations as a management function because so often the staff has to devise the plans and carry the hose as well as put out the fire. But it's essential to the success of the overall public relations plan that the college leadership perceive PR professionals as good managers, and that they include them actively as management in helping to carry out the college's objectives.

Management by objectives is particularly appropriate to the sophisticated college development office where each deadline is an important element in the effort to achieve the mission. A goal-oriented public relations program includes a clear, precise statement of the objectives and a method for achieving these objectives that is reflective of the institution's purpose.

Public relations is the management function that evaluates public attitudes, identifies the policies and procedures of an individual or organization, and plans and executes a program of action to earn public understanding and support. Consider these four essential components of a public relations plan:

- **Research:** an analysis of the community's needs, perceptions, and institutional impact;
- **Planning:** the development of a communications campaign using opinions and facts;
- **Communications/action:** the actual implementation and monitoring of the comprehensive plan; and,
- **Evaluation:** a scientific evaluation using impartial and objective assessments (Meek, 1981).

The public relations program should be realistic and achievable. Most of all, it must be endorsed by the president and supported by the college administration. The plan should include informational objectives to increase awareness, enhance the college's image, and inform target groups. It should also include motivational objectives such as increasing enrollment and changing attitudes.

When you are developing a PR plan, learn from the experts. Consultants are highly paid by industry for their skills and knowledge, but a college account might offer a breath of fresh air. Consultants located in the community may accept a college account as a public service project or trade their services for honorary memberships in donor gift clubs that would give them access to business leaders.

The public relations plan should broadcast a central message linked by several themes. One authority lists eight steps to a strategic communications plan:

1. Write a central message and identify themes.
2. Audit your fliers and other communications.
3. Write concept papers that define selected programs and projects.
4. Promote current campus strengths and star performers.
5. Identify crisis issues and develop an emergency plan.
6. Plan executive speeches for important audiences.
7. Plan direct contact with opinion leaders.
8. Create "image-positioning" special events (Lauer, 1986).

Well-managed special events can be at the heart of a good public relations program, bringing the community college constituents to the campus and involving people in the life of the campus (Rydar, 1986). Many institutions with limited marketing and publications budgets but with access to numbers of community volunteers place special events at the heart of their communications programs. They know that support comes as relationships and commitments are built with target groups.

It is important that you realize from the beginning that it is impossible for one person to do everything well. PR professionals, particularly in small colleges, are often generalists who do not have the luxury of doing only the things they do best. They must be careful not to concentrate on the programs or activities that come easy. The sciences need attention as well as the high-visibility arts programs. In time of stress, the situation must not manage the individual. Especially then, written objectives and priorities should be a guide to managing time; PR practitioners have not only the right but the obligation to decline new projects when their time and talents are already stretched to the fullest.

Evaluate the PR program annually

In these days of increasing criticism of higher education from parents, students, and legislators, it is important to justify the monies spent for public relations. A true PR evaluation analyzes the strengths and weaknesses of the program, compares goals and objectives with actual accomplishments, and honestly assesses what the institution is getting for its money.

110

Evaluation uses systematic measures and comparisons to provide helpful information on which to base management decisions. It requires commitment from the top as well as dedication and patience. Evaluation should be an ongoing activity following each program, activity, and event. And it should be an annual function in your institutional PR plan. The Council for Advancement and Support of Education (CASE) has a number of self-evaluation matrices and checklists that can help you evaluate your advancement activities.

The successful public relations perspective

Public relations is the sum of the methods used to gain the attention of specific target audiences. But it is far more than publicity, promotion, and the selling of myths.

Public relations is an accepted management function and a part of the institutional policy. It supports the mission of the college and is essential to growth and support. Public relations is a relatively small investment in the institutional budget, but it can pay major dividends in positive positioning among the community college constituencies.

References

Lauer, Larry. "Eight Steps to a PR Plan." CURRENTS, January 1986, pp. 28-31.

Meek, Edwin E. "Managing the Comprehensive PR Program." Presentation at a CASE Conference on Management, 1981, in Chicago.

Muller, Steven. "Prologue: The Definition and Philosophy of Institutional Advancement" in A. Westley Rowland, ed., *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986.

Perkins, Donald R. "Interpreting the Institution to External Constituencies" in A. Westley Rowland, ed., *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986.

Persons, Christopher E. *Public Relations for Colleges and Universities: A Manual of Practical Procedures.* Palo Alto, CA: Stanford University Press, 1946.

Rowland, Howard Ray. "Building Effective Internal Relations" in A. Westley Rowland, ed., *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986.

Rydar, Kathleen L. "Planning and Conducting Special Events" in A. Westley Rowland, ed., *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986.

Schrader, Robert M., and Edward Bolton. "Professionalism in Campus Public Relations and Development." *Techniques,* June 1972, pp. 14-19.

Woodress, Fred A. *Public Relations for Community/Junior Colleges.* Danville, IL: The Interstate Printers and Publishers, 1976.

Marlene Ledbetter

Marlene Ledbetter has been writing college publications for nearly 20 years. Since 1986 she has headed the Publications Department at Monroe Community College in Rochester, New York, supervising production of more than 400 separate published pieces each year. Since she joined the MCC staff in 1984, her publications have received several awards.

In previous positions at the Rochester Institute of Technology and the University of Rochester Medical Center, she wrote recruitment materials, alumni magazines, trade journal articles, fund-raising publications, employee newsletters, and press releases. She has also written technical manuals and edited three textbooks on photography.

Ledbetter has B.S. and M.A. degrees from the S.I. Newhouse School of Public Communications.

Chapter 11

Publications: Making a Lasting Impression

Marlene Ledbetter
Director of Publications
Monroe Community College

The first impression of a college is often created by a printed piece, produced by the college's publications staff. Since first impressions tend to be lasting impressions, effective publications can and should play a critical role in a college's success in developing its image. An effective publications program can maintain that positive image, while helping the college reach its objectives.

Two-year colleges use publications for the same purposes four-year colleges use them: to recruit students; to provide information; to raise money and garner support from alumni, government officials, and other publics.

But community colleges have typically been less concerned about the impact of their publications. Why?

• Community colleges were created to fill a niche in the educational structure. In their early history, they were intended to attract local students who would not be going away to college. They did not have to compete for students with four-year colleges or other two-year colleges.

• Fund raising is relatively new to community colleges. As community colleges find it necessary to compete for funding, from private as well as public sources, they are less likely to get away with publications that do not convey an image of quality, worthy of support.

• Community colleges were created to meet the educational needs of many different kinds of people: high school students, evening students, parents, working and nonworking women, and other segments of the student market

often referred to as "nontraditional." Communicating with this diverse student market complicates a publications program. Too often, the result is a hodge-podge of publications. Or the effectiveness of a publication is diluted in an attempt to make it serve many purposes.

• Community college resources are more likely to be allocated to student services rather than to creating an image. Since printing is expensive, the quality of publications is likely to suffer more than other areas of institutional advancement.

Community colleges can overcome these obstacles to effective publications by: (1) identifying specific communications objectives and designing creative publications to meet them, and (2) managing the publications program in a cost-effective manner.

The role of publications staff

Twenty-five years ago, the role of the college publications office was to make sure the catalog was delivered on time and, perhaps, run a print shop, which duplicated information for faculty and administration. Today, publications are likely to be regarded as part of a college's overall marketing effort. But faculty and administrators still expect to have the catalog delivered on time and their department fliers run off on demand. The publications staff must balance the demands of faculty and departments against overall college goals.

It is not difficult to determine the kinds of publications needed by a community college: a catalog, recruitment and financial aid information, employee newsletter, alumni newsletter or magazine, fund-raising literature, course schedules. The challenge for publications personnel is to devise creative solutions to communications objectives and to produce them on schedule and within budget.

Publications personnel should take the initiative in creating new publications, as well as reviewing current publications to determine how they might be improved, combined, or eliminated.

Sometimes, too, the publications office may need to insist that a publication is not the best answer.

For example, your college establishes a goal of increasing minority enrollment, and the publications office is asked to produce a minority recruitment brochure. Before you start writing, however, you need to know:

- why minority students are, or are not, choosing the college;
- when and how they make their college choice;
- what influences that decision;
- what—if any—college publications they now see; and
- how they react to publications targeted at minorities.

Answers to these questions might reveal that a publication would not accomplish the desired results, no matter how well produced. What are the alternatives? Your institution might:

- establish a role model program with current minority students;
- bring minority students to campus to "shadow" students and faculty;
- establish a minority scholarship program.

Eventually, you could feature these programs in publications to reinforce their impact, but you can't write a pamphlet highlighting the reasons minority students should consider your college if there aren't any.

If you decide a minority recruitment publication is necessary, it might be more effective if written for "influentials"—guidance counselors or others who influence minority students.

Publications within the organization

The place of publications personnel within the college organization varies from college to college. Some colleges use a decentralized system in which individual departments or units have their own publications staff. The advantage of a decentralized system is that a department is more likely to get the necessary financial support for a publication project it really wants. The chief disadvantage: a lack of unity among all college publications.

A centralized publications system tends to be more efficient because publication specialists are producing publications and because individual needs are subservient to overall college publications programs. A centralized publications office must have the authority to override department demands, when necessary, so that all printed pieces reflect the college standard.

In many colleges, the same people work on both publications and media relations. A writer may be assigned a "beat," a particular area of the college. He or she writes both press releases and publications copy for that area. This system has two advantages: The individual gets to know his or her assigned area and the people on the beat and can quickly adapt a story for both media and publications. Such a system also adds variety to the writer's job. In other colleges, media relations and publications are separate functions, allowing those hired for each position to become specialists.

In either type of organization, media and publications people need to work cooperatively to get the most mileage out of a story and to save the time of those being interviewed.

Producing a publication

Each of the following steps in the production of a publication requires specific skills:

- definition of purpose;
- planning and scheduling;
- writing;
- copy editing;
- graphic design;
- photography and/or illustration;
- typesetting;
- proofreading;
- layout and production of mechanicals; and
- printing and finishing.

Large colleges may have a staff of specialists: writers, graphic designers, copy editors and proofreaders, mechanical artists, and production specialists. Most community colleges must make do with far less; in many cases, one person is responsible for all phases of publication, with occasional assistance from freelancers.

Planning

Effective publications seldom, if ever, happen by accident. They start with planning and a clear and specific objective in mind. Before you do anything else, you should develop a prospectus for your publication. The prospectus should:

- state what the publication is expected to accomplish;
- identify the target audience and all that's known about it;
- identify the person responsible for each role in production;
- establish a production schedule, with deadlines for each step;
- indicate how the piece will be distributed, taking into consideration such factors as postal regulations, envelopes, indicia requirements, and distribution costs;
- establish a budget; and
- provide for feedback such as a reply card, dedicated phone number, or some other method of measuring results. (Communication is like an electric circuit; it is not complete until you have a response.)

Once you reach agreement between "client" and production on these issues, writing the publication will be easier. You won't have to spend a lot of time revising copy because of misunderstandings about objectives; and the job of writing printing specifications will be simplified. (Complete and accurate specifications will help ensure that the printer's invoice and delivery schedule match your expectations.)

In the process of developing a prospectus, you may find it necessary to make revisions. For example: Your budget allows just one publication for recruiting all types of students. Since you can't tailor copy to a specific group, such as

high school students, you may refine your objective from a general one (recruiting students) to a more specific one (describing the diversity your campus offers different kinds of students).

Understanding your reader also makes the job of writing easier. Take advantage of any opportunity you have to get to know your potential readers. If your research office is conducting focus groups, be there. You'll learn much more observing participants and their responses than by reading a report.

Accompany your admissions staff on a few high school visits; you will gain insights into your college's current image among students, and you'll find out exactly what students want to know about your college. Talk to guidance counselors. Look at the publications in the guidance office to see how your piece looks on a shelf with hundreds of others. Go to college information programs; talk to the people who influence students the most—their parents. Look at the recruitment publications other colleges are producing, and see how yours compares when it is competing for attention. Talk to admissions counselors.

Writing

A good publications writer must be more than a grammarian: He or she must be a communicator. Although good writers come from many different fields, a journalism degree provides education in all aspects of communication, rather than just proper sentence construction. A background in journalism can also help the writer develop a sense of what makes a good story and what approach makes that story readable.

Write for your reader—not for academics. Simple writing can be good writing as well as effective communication. You can use a formula for readability, such as that devised by Rudolf Flesch, but take the formula as a guide rather than a rule. In general, such formulas advise a personal style, simple vocabulary, and short sentences. Varying sentence length keeps the reader from being lulled to inattention.

Writing, like other skills, improves with regular practice. Reading is another way to practice writing skills and will also give you ideas you can use to enhance your own creativity.

Graphic design

A good publications designer must be more than an artist. The functions of graphic design are to grab the reader's attention and promote readability by enhancing the writer's message. Good graphic design does not call attention to itself at the expense of effective communication.

It is also essential for the graphic designer to know printing, since a graphic design is useless if it is unprintable, or if the work necessary to prepare it for the press makes it unaffordable.

Establishing a college style guide can ease the job of graphic design. By establishing a formula for design, a graphics manual eliminates the need to start each project from scratch. In addition to saving time, a graphic identity system creates a synergistic effect among college publications.

Production

Production includes everything from preparing manuscript copy to "finishing"—trimming, folding, and putting the piece together at the bindery.

The more a college publications person knows about the technology of his or her field, the better. In lieu of getting a degree in printing, you can get most of this knowledge on the job—learn from experience and from people in the printing and paper industries. Keeping up with changes in printing technology is another part of the publications job.

There are several publications that can serve as an introduction or reference guide: *How to Plan Printing,* published by S.D. Warren, a subsidiary of Scott Paper Company; *Pocket Pal: A Graphic Arts Production Handbook,* published by International Paper Company; and *Graphics Master,* published by Dean Lem Associates.

Computer literacy has become a necessity for all areas of publications. Writers now input directly to typesetting equipment. Desktop publishing systems have replaced T-squares and wax. And managers track production with dBase programs (programs that allow you to store, manipulate, and retrieve data, i.e., schedule, costs, vendors, time). Figure 11-1 is a printout of an excerpt from a job detail report on the production of a catalog.

Publications management

There are two sides to managing a publications office: the creative side that comes up with exciting copy and visuals and the practical side that makes them possible. If you spend your whole budget on the brilliantly creative piece you conceived in September, it will be a long dry year in the publications office. Or if your institution deals with every situation by producing a publication, you may find that you're spreading your resources too thin to achieve optimum results. The suggestions below can help you manage a cost-effective publications program and get more with your limited resources.

• *Don't publish it.* Do a publications audit of all college publications to determine which might be eliminated, replaced, or combined.

• *Go smaller.* Cut the size of the publication. A well-done eight pages works better than a 16-page piece that stretches resources. But don't sacrifice white space or reduce type size; improve writing and design to cut copy.

• *Write a letter instead.* Look for alternatives. Sometimes a personal letter—or a postcard or an ad—may be more effective than the printed piece that takes so long and costs so much. Remember to include the cost of distribution when budgeting for a publication.

• *Spell it out.* Be specific when you write printing specifications, so your bid or quote is accurate.

• *Take advantage of free help.* Paper company representatives are always eager to share ideas and make suggestions.

• *Be kind to your printer.* Be accurate and complete. Keep changes to a minimum. Be realistic; don't ask for impossible delivery dates. (One company representative assigns a "frustration factor" to each customer; it's added onto his price.) If you have a good working relationship with your printer, he or she will advise you on the most effective and least expensive way to get your job done.

• *Choose the right printer.* Different printers specialize in different types of jobs. One who specializes in catalogs can probably give you a better price for your catalog.

• *Use it again.* Once you've invested in a good piece, don't be reluctant to use it again. Good design is a good investment. So is good photography and artwork. If free-lancers contributed to your publication, make sure that you own reprint rights, not just one-time use.

• *Be a borrower.* If your local newspaper prints photographs of your campus, see if you can buy copies. Consider reprinting, with permission and credit, newspaper stories.

• *Share.* Use news releases, rewritten if necessary, in publications. Adapt stories for different publications.

Figure 11-1: Excerpt of Job Detail Report for a Catalog

Monroe Community College
Job Detail Report

Task	Date	Hours	Cost	Vendor
Proofreading	05/04/89	3.00	0.00	Publications
Proofreading	05/07/89	3.00	0.00	Publications
Proofreading, correcting	05/08/89	4.00	0.00	Publications
Entrance charts typeset	05/10/89	2.00	0.00	Accutech
Entrance charts revised	03/28/89	4.00	0.00	Accutech
Collected photos	05/10/89	1.00	0.00	Publications
Paging, photo selection	05/12/89	7.00	0.00	Publications
Final paging, pics completed	05/15/89	2.00	0.00	Publications
Blueline checked, returned	05/26/89	6.00	0.00	Rich Printing
Catalogs delivered	06/16/89	0.00	25561.50	Rich Printing Co.
Subtotal		66.00	25561.50	

• *Be flexible.* If your printer offers a comparable stock as a substitute, accept it. It is less expensive because paper companies discount stock based on quantity purchase. If your budget is really low, ask a paper company or printer to be on the lookout for an acceptable discontinued stock, at a significant discount.

• *Develop a graphic identity.* Establish a formula for combining paper, type, logo, and ink color to save design time.

• *Plan ahead.* Coordinate your printing jobs for the year to get the best prices on printing and paper.

• *Proofread it again.* A job that has to be reprinted because of an error is always too expensive.

Conclusion

Good publications require creative writing and design. Effective publications require knowledge of the intended audience and the objective you want to achieve. Producing good, effective publications requires an understanding of production or the wisdom to seek advice from those who do. Determining whether your publications are good and effective requires a system for obtaining feedback.

When your publications program succeeds, each publication will extend your college's influence far beyond the perimeters of the campus, creating a tangible positive image for your institution.

Robert Lacell

Robert Lacell is director of public information at Mohawk Valley Community College, which has campuses in Utica and Rome, New York. Lacell's career in broadcast news and advertising established him in the communications field prior to his entry into higher education communications. At Mohawk he is in charge of all college publications and advertising and is news media liaison.

Lacell's work has attracted numerous national awards, including a recent Paragon Award given by the National Council for Community Relations of the American Association of Community and Junior Colleges for outstanding print advertising. He has also earned three Citation Awards in annual CASE communications competitions and has received five top awards for advancement projects from the SUNY Council on University Affairs and Development.

Chapter 12

Advertising

Robert Lacell
Director of Public Information
Mohawk Valley Community College

With high school graduating classes shrinking, all colleges are working harder to attract students. Community colleges are no exception, as we attempt to recruit both "traditional" 18-year-old students and "returning adult" students.

One way we do it is with advertising. However, spending a lot of money so that people know we're around doesn't necessarily put students in our classrooms. While visibility and information are important, we need to go beyond that to the marketing concept. We need to identify the needs of potential students, create programs and services that fill those needs, and then tell people about our ability to help them.

Planning

Guessing at what people think is attractive about the institution without the benefit of research-based planning leads to vague advertising that doesn't efficiently target *anyone*. No doubt some people will see or hear the ads, and, with a little luck, some of these people may be in the market for what is being advertised. They may call or visit the institution because of the ads. And they may eventually enroll.

You can maximize the chances of that happening at your institution. What you need is a specific advertising plan, with objectives and strategies based on real institutional needs and market conditions.

Establish objectives. Begin by asking what your college needs to accomplish in marketing and how advertising can help. You may want to:

• differentiate your college from its competition, so that potential students not only know about you, but can tell you from the other guys easily;

• achieve awareness and familiarity so that when people do have a need for your services, your college will come quickly to mind; or

• bring more people into your market—potential students who have not considered attending any college, for example. You can't just assume they know about your institution. Communities experience constant population turnover. People's lives change, and they find themselves in need of more education. Some people actually forget about your institution. Regular advertising helps to build and maintain in the minds of your "customers" an image of quality for your college.

Advertising objectives need to be broad enough to allow room for a variety of approaches, but specific enough to guide planning and to provide a fair, realistic standard for evaluation.

They should not be vague, idealistic statements with no connection to market conditions or college marketing targets. For example, don't decide to "increase enrollment" if what you really should do is "generate 20 percent more enrollment inquiries next year from women over 35 in our service area." A specific objective immediately begins suggesting messages and media.

Don't set advertising objectives in isolation. Not only is it risky in terms of campus politics, but you can miss out on some good ideas. Often, your colleagues can help you identify messages that should be conveyed; they can advise you as to when advertising is likely to be most effective. Participation at the planning stage provides a sense of ownership and a better understanding of what is involved. That can save you problems later, when someone needs an ad and has no budget for it.

That doesn't mean that you should give up creative or budget control. You're still the "expert," the professional with the training and the responsibility.

Monroe Community College in Rochester, New York, uses a formal committee, according to G. Jeremiah Ryan, vice president for institutional advancement. The Internal Marketing Committee includes 16 faculty and staff members. Moraine Valley Community College in Palos Hills, Illinois, uses both a marketing committee and a recruitment committee. At Southeast Community College in Lincoln, Nebraska, marketing and advertising committees from its three campuses are involved in creating both annual and five-year plans.

At Onondaga Community College in Syracuse, New York, the consultation is more informal. Gary Livent, occ's vice president for development and community relations, meets with representatives from admissions, community education, the academic vice president, and the registrar.

Once the objectives have been determined, put them in writing along with a strategy and implementation schedule. This will help you stay on track and enable you to fend off new projects that could draw resources away from the agreed-upon plan.

Identify your market. Before you can appeal to your market, you need to know who it is. In fact, you need to know as much about it as you can. You should be able to answer the following questions:

- Who are your potential students? What do you know about them? Where are they? Into what age and income groups do they fall? What other demographic information should you know about them?
- What do they need that you can provide?
- What do they think of you, and are their impressions accurate?
- When, how, and where do they get their information?
- How do they choose a college, and who influences that decision?
- Why do they choose your institution (or why don't they)?
- Who are your competitors, and what are they doing to market themselves?

Your institutional research officer or registrar can provide information on the college's demographic profile and enrollment patterns. And don't overlook admissions staffers, who are "on the front line" answering inquiries every day.

Professional research firms can help you learn more about your audience. They can also help you translate the information into marketing plans and actions. Or you can do your own research. Moraine Valley surveys high school students to determine what services they need and their opinions of the college. According to Kathy Wilders, associate vice president for marketing and research, Moraine Valley also surveys current students to determine which local media they use, conducts focus groups to determine reaction to college publications, and asks others about their satisfaction with the college.

At Southeast Community College, Public Information Officer Patsy Martin surveys incoming students about their reactions to scc publications and advertising.

Preparing your ad: Sell benefits, not features

Don't begin with what you want to promote. Instead, concentrate on the target audiences, their needs and concerns, the problems they have, and how your institution can help solve those problems. The average person is exposed to hundreds of advertising messages every day and screens out most of them. The ones that get through are those that address his or her needs.

The difference between a benefit and a feature is often very subtle, and yet it's very important. It's the benefit, more often than not, that the customers are actually buying, whether they know it or not. That's why, I suggest, Eastman Kodak sells memories in its consumer advertising before it sells film. It's why automobile manufacturers promise prestige, excitement, image, even the personality and style with which buyers wish to associate. Fitness clubs sell health and personal attractiveness, not facilities. It's all summed up in the age-old advertising cliche, "Sell the sizzle, not the steak."

This means that you don't advertise courses and programs. You advertise self-fulfillment, job security or advancement, a career with a future, social approval, status, better health, and more leisure time. To this base, you can add relevant "product features" (the tuition rate, placement assistance, services for older students, and so on).

Copy approaches. A straight presentation is the most common, largely because it is the easiest and least expensive. Testimonials can be effective but your target audience must be able to relate to the message and the speaker. Use students, not rich alumni, especially if you're trying to reach older or marginal students.

Moraine Valley uses "real people" rather than paid talent for commercials. Says Kathy Wilders, "No one can do as well as those who have actually gone through the experience." Karen Russell, director of public relations at Dundalk Community College in Baltimore, Maryland, agrees, but adds a caution: "They can be harder to work with, missing photo shoots, not dressing appropriately."

At Mohawk Valley, we also use "real people." We look for articulate extroverts who are truly satisfied customers. They never see a script or rehearse (rehearsing puts pressure on them and makes them nervous). Sometimes we don't tell them until later that the tape was running; we try to bring out their natural enthusiasm and persuasiveness. And don't forget the model release—a signed statement or "contract" giving permission to use a person's photograph and/or name, waiving compensation and limiting (but not eliminating) your legal risks.

Less frequently used approaches include slice of life (a dramatic situation in which an individual's dilemma is solved by your college), lifestyle (used frequently in selling products loaded with subjective emotional values, lifestyle ads—such as beer commercials—highlight the user rather than the product); and celebrity spokesperson (relatively uncommon among community colleges, although Cuyahoga Community College in Cleveland, Ohio, has used sports figures).

Headlines. People won't read your ad unless your headline interests them. Make it directly relevant to their needs. Use it to attract their attention, to make it clear whom the ad is aimed at, to lead them into the rest of the ad, to promise a benefit. Here are some we've used at Mohawk Valley: "Jobs," "College for Adults," "New Job Skills. Quick." The product benefit and how it relates to the reader are clear at the outset.

Sometimes a direct approach is best: "Prepare now for a career in aircraft maintenance." "Health care careers begin at MVCC." "Adult students are choosing MVCC." "Helping you to be your best."

Themes. Your headline for a single ad may turn into a theme for the entire campaign, applicable to several target markets and a variety of selling points. The campaign approach achieves greater impact over time, building its own identity. At my college, we've had this experience with the theme, "We put success within your reach."

Our themes wrap specific targeted messages, benefits for our customers and the features they entail. Here are some of the messages community college are using:

- openness to older students, an understanding of their needs, services tailored for them;
- good free advice (counseling);
- quality facilities and faculty;
- transferability;
- affordability;
- convenient locations and schedules;
- career retraining, upgrading;
- program selection; and
- job placement.

As you are writing your ad, keep these points in mind:

- Use short sentences and paragraphs to improve readability and save on time and space charges.
- Use a conversational style.
- Avoid humor. It almost never works, except in the hands of the experts.
- In radio, develop a specific sound (or voice) that makes your ad stand out from the rest. Present only one idea; if you put too much in your ad, listeners will be distracted. Make it clear early in the spot whom you're talking to (listeners will decide in the first few seconds whether or not to pay attention); repeat your college's name several times, as well as the selling point.
- Be honest. Word of mouth will catch up with you in the end if you aren't. Be careful of guarantees; someone might hold you to them. Don't promise that something's unique if it's not. Don't disparage your competition. Negative advertising may work for presidential candidates, but they only need to remain at the top for eight years at the most; your institution will last a lot longer than that (you hope!).
- End your ad with a call for action, urging the readers, listeners, or viewers to call a specific telephone number or fill out a coupon. Make it easy for them to do so—include your mailing address on the coupon.

Choosing the right media

Every medium has distinct advantages and disadvantages; none is perfect. In most cases, you'll use more than one, each for its own reasons and in its own way. This is your "media mix."

As you make media choices, consider your target audiences, their "shopping" and media habits, who your competitors are and what they are doing in the media, your geographic priorities, and marketing objectives.

Also, consider the amount of advertising time or space you'll need, its cost, the expense and difficulty of production, and the prestige level of each medium.

Do you want a high "reach" or a high "frequency"? "Reach" is the percentage of the target market who will see your advertising at least once in a specific time period (usually four weeks). "Frequency" is the number of times each person will have an opportunity to see or hear your ads during the same period. Obtaining both high reach and high frequency is usually very expensive. You may have to choose between them, depending on whether your goal is reaching more potential students or reminding people about your college more often. With general advertising, we go for reach. When promoting a specific registration period, we feel that frequency is more important.

Using print media effectively

Use good design. Headline, photo, and layout must all work together. A "quality" look conveys a sense of professionalism about your institution. Whether you use an in-house designer, an agency, or a free-lancer, a little expense goes a long way toward creating a professional image.

Use a simple, clean layout.

> The layout should carry the reader's eye through the message easily and in proper sequence, from headline through illustration, to explanatory copy, to call for action, [advertiser's name], etc. Avoid use of too many different typefaces, overly decorative borders, etc. . . . Use a dominant element, a large picture or headline, to ensure quick visibility. . . . Let your white space work for you. . . . Don't overcrowd your ad. White space focuses the reader's attention on your ad and will make your headline and illustration stand out (Arens and Bovee, 1982).

Develop a consistent "look." Emphasize a similar theme in each ad. Use a good logo to attract attention and to identify yourself and use it the same way in every ad. Make each ad in the series the same shape, even the same size if possible. And, certainly, be consistent in your choice of typefaces. At MVCC, we use Helvetica for heads and Palatino for body copy; our logo and theme line always appear in the same place. We submit all our print ads camera-ready; if we left it to each of the eight papers in which we routinely advertise, our ads would come out eight different ways.

Use spot color. Use photography that is technically good, particularly for newspapers, which don't reproduce photos well. Try for emotional content. Use illustrations that will get attention, identify the subject, tell readers whom the ad is aimed at, and relate to and support the body copy.

Newspaper advertising. An ad in a newspaper, because it is tied to the news product, gains a sense of importance, even urgency. Some demographic

selection is possible through section choice or choice of paper, although often it's not highly selective. There is considerable flexibility in the size of a newspaper ad. It's quicker to produce than all but the simplest TV, and it provides good reach. It can communicate detailed information and be kept for later reference. You can even insert your own publication.

Drawbacks include poor reproduction quality and heavy competition for the reader's attention—on the page and throughout the paper. It takes longer to produce than radio and offers much lower frequency possibilities.

At Mohawk Valley, we try to stretch our newspaper budget by advertising in special sections when they fit our needs. Not every special is right for us, but we do use annual business and progress reviews, back-to-school and graduation specials, and others targeted for audiences that are important for us.

Magazine advertising. Many magazines offer regional editions reaching highly specialized audiences. They are extremely selective, especially free "controlled circulation" magazines. They tend to be shared with a shadow "pass-along" audience and usually offer good reproduction, including color. Even so, I find that few community colleges advertise in magazines. Reasons may include a very long lead time, generally high rates, relatively low frequency, and poor local reach.

Direct mail. Most community colleges use direct mail. It's good for reaching very busy people, like potential part-time students. Everybody has a mailbox, and most people look to see what came in the mail, if only for a second.

Direct mail can be specifically targeted and timed; the advertiser can control both the message and circulation. From a small brochure to the common newsprint class schedule, direct mail can convey sizable amounts of very detailed information, and it allows great creativity (although the U.S. Postal Service does impose some restrictions).

As with the other media, there are drawbacks. Direct mail has an extremely high cost per exposure due to the cost of postage, production, and mailing lists (purchase/rental/creation, maintenance/sorting, processing). It can suffer from "junk mail" connotations, as well.

Outdoor advertising. "Outdoor" advertising, including billboards, offers extremely good reach and frequency at a relatively low cost per thousand. Copy can be tailored to fit the location of the billboard. Unfortunately, motorists pass billboards and other forms of outdoor advertising very quickly. The message must be very brief and intrusive and cannot offer any detailed information. There is usually a six- to eight-week lead time and a minimum commitment of a month's exposure. Outdoor advertising is difficult to target and is vulnerable to both weather and vandalism.

Transit advertising. Transit advertising, on (and in) buses and subways, offers limited opportunities to communicate detail, requires significant lead time, and for obvious reasons does not offer many advantages in rural areas. It does tend to be affordable and provides both reach and frequency. It works best as reminder advertising, used in conjunction with other efforts.

Advertising on radio and television

Plan, plan, plan! Any lack of coordination that causes production delay, especially into a second day, will run costs up significantly. Depending on where your institution is located and who's doing your production, delay could mean thousands of dollars.

Production work is very tiring. If you've anticipated what might go wrong (something always does) and headed off most potential disasters, energy and patience levels will stay high, and you'll get a much better product. People who do radio and TV production for a living appreciate clients who have done good planning. Note: Do the planning in conjunction with them; you know your institution, but they know production.

When it comes to music for spots, including jingles, most of us simply get it from radio and TV stations, using music for which the stations have purchased rights or commercial music packages. But be careful that you don't end up with many different pieces of music—diluting your impact. The solutions: Don't use music, only voice; or provide your own, either by buying the rights to a jingle package or, if you can afford it, hiring a composer and musicians to produce it. An agency or production house can be of great assistance here.

Several years ago, Mohawk Valley picked up a jingle package originally produced for a bank in Ohio. The bank had rejected the music, and it was reworked with our lyrics at a much reduced cost.

The rate you pay for radio or television spots will depend on the time of day or night you want the spots to run. While you pay the lowest rate for "ROS" (run-of-schedule) spots, this usually gets you the least favorable times. ROS means the station runs your spots whenever time is available, and you may get bumped from the better positions by advertisers willing to pay a higher rate. Most stations will sell you a package plan, however, guaranteeing some spots in desirable times in return for running some spots at less attractive times. If you want something better, and want it guaranteed, you'll have to pay for it.

Some community colleges use media buying services that purchase radio and TV time in quantity and resell it at prices below rate card levels. One caution: If you have a long-standing relationship with a station or a sales rep from that station, switching to a media buying service will undercut that relationship. Consider whether the savings are large enough and your buying service stable enough for the long term to make it worth sacrificing a valuable relationship. If not, you may be better off continuing to buy direct.

Radio. Radio's strongest appeal to advertisers is economy. Production costs are low: Radio offers reach, frequency, and selectivity at one of the lowest costs per thousand. When necessary, you can also change copy quickly.

Radio commercials are quicker, simpler, and less expensive to produce than TV commercials. Unless you're doing something extremely complicated, a script, an announcer/engineer, and some time in a well-equipped studio are

all you need. In fact, using "live" adlibbed spots works well when you want to capitalize on a local announcer's popularity.

The wide variety of specialized radio formats, each with its own audience, lets you select just the market you need to reach. Most markets offer "progressive rock," "top 40," "middle-of-the-road," classical, country, all-news or all-talk, "goldies," or ethnic programming.

But radio is an aural medium—you can't have any visual impact, except in the listener's imagination. The audience is highly segmented; just as this works in your favor when you are trying to reach specific target markets, it works against you when you need to saturate a market.

Radio competes with other activities for attention; it's just background noise for many listeners. Air time is normally sold in only 10-, 30-, or 60-second pieces, limiting the amount of information you can communicate. There is no permanent record; the listener can't hear the ad again if he or she missed a vital detail. These all make it a poor choice for conveying complicated or detailed information.

Television. Television is powerful and persuasive, reaching large audiences and building awareness rapidly. As a visual medium, it can be used to "show" or "demonstrate." Music, personalities, sound, motion, color, and animation make your message stronger and more memorable.

One useful tool in TV planning is the storyboard. This is a series of rough illustrations (they don't have to be works of art; you can draw "stick people") showing the action and various scenes. Storyboards enable you to estimate the complexity and expense of a commercial, visualize the intended outcome, guide the shooting and editing, and even get the necessary approvals before you begin shooting.

When you advertise on television, use the medium to its full potential. Include color and motion. Show your laboratories and classrooms and introduce your faculty to potential students. With the newest technology, you can even use slides to make effective TV spots, although "real" motion is better. Don't use a home video, however. It's not broadcast quality and will leave a poor impression.

Many campus instructional media operations have the equipment and expertise you need. At Mohawk Valley, we use instructional media people to shoot video on campus and use station facilities only for adding dissolves, words or art that we want added to the picture, and announcer voices.

Current students and alumni, faculty, and administrators can appear in your TV ads. Other talent sources include radio and TV stations; many will produce your commercials for free or at minimal cost. One problem, however, is that stations frequently will not carry spots produced by a competing station, particularly if the copy is delivered by a recognizable on-air personality. If every station uses a different voice, it can be as bad as using a different typeface in every print ad. It fragments your effort.

You might consider using a free-lance commercial voice, usually available through a production house or an agency.

For many community colleges, especially those in major markets, TV airtime can be prohibitively expensive. Television production can be both complicated and costly; you must juggle locations, lighting, mikes, music, editing, talent, special effects, and more. It is technically demanding and time-consuming. Like radio, its 10-, 30-, or 60-second formats limit its ability to convey detailed information. Also like radio, there is no take-away permanent record for later reference.

In addition, unlike radio listeners, TV viewers have little or no station loyalty; their loyalty is to programs. This leads to channel-hopping and makes ROS buying very vulnerable.

Cable TV, a relatively new wrinkle in TV advertising, offers relatively low costs (so far). With its highly specialized formats, it can be as narrowly focused as radio or even more so. Unfortunately, the explosion of cable channels creates the same problem you face in radio when you are trying to blanket a market. You can't afford to buy every channel; indeed, the very attraction of some is that paid ads are not run. Video rentals and satellite dishes fragment the audience still further.

At Mohawk Valley, we continue to advertise on television, buying time on both cable and on the "hometown stations." In the latter case, though, we've become more selective; we no longer buy only ROS but pay the premium for spots in local news blocks as well.

Stretching your budget

Most community colleges must operate within tight budgets, and advertising is no exception. You can have a quality program on a limited budget if you use your money wisely. Consider some of these money-savers:

- Seek out educational/nonprofit rates. Many papers and stations offer them. Some of our stations give us one spot for every one we buy.
- Use "flights" (also known as "bursts" or "pulses") to stretch your budget over time. This involves planned breaks in your advertising, long enough to save money but short enough so that you won't have to start building identity all over again. When we do institutional advertising, we often use flights, sometimes changing the copy to reflect different populations coming into the market—adult students, high-quality traditional students, late deciders, and so on. We avoid periods when we are running registration campaigns just prior to the start of a semester.
- Investigate long-term contracts. A long-term commitment, reflected in the size of your buy, can drive rates down, particularly if you are a strong negotiator.
- Look for "combination rates" in markets where one publisher produces both morning and evening papers. Usually the price for advertising in both

papers is considerably less than buying each one separately. Similarly, look for "pick-up rates" for extending an advertisement another day. These tend to be offered for Saturdays or Mondays or for the day after a major holiday, when newspaper production staffs may be reduced, and when they're interested in making fewer changes in the advertising portion of the paper.

• If you don't mind the risk of being displaced by other advertisers paying a higher rate, purchase ROP or run-of-paper advertising. The cost is far less than placing the same ad in a preferred-position newspaper space or a specific peak listening or viewing broadcast time slot.

• Consider buying time or space jointly with other organizations. At Southside Virginia Community College in Alberta, Virginia, where state regulations prohibit recruitment advertising in the strict sense, Public Information Officer Anne Long shares the cost of publishing course lists with a neighboring community college. At Mohawk Valley, we have joined with the local dental society to promote our dental assisting program; we have received support from a local aeronautical school to promote a "one-plus-one" program in aircraft maintenance; and we join occasionally with a neighboring community college to promote community colleges as an alternative to other types of institutions.

• Don't forget (or be too timid) to seek discounts.

Even though your dollars are limited, don't automatically agree to a reduced ad budget when enrollment—and college expenditures—fall. The worst time to cut promotion is when sales are off.

Advertising agencies: Pros and cons

A number of community colleges, even in smaller markets, are using advertising agencies. At Onondaga Community College, Gary Livent uses an agency that "provides expertise and resources not available in-house." Monroe's Jerry Ryan agrees, "They do the job better than we could inside. They do it all!"

Agencies offer the best advertising talent, from both the creative and business viewpoints—writers, designers, media planners and buyers, and research people. They work on many different accounts, are constantly immersed in advertising, and bring an outsider's objective viewpoint. They have technical and media expertise, can often choose the best media, get the best ad time and space buys, and monitor media performance (ratings). They can make you and your college look good.

They can also dramatically simplify your life, handling the myriad chores involved not only in ad production but also in ad placement, including initial calls, deadline determination, price negotiation, requisitions, tearsheets, notarized affidavits, claim vouchers, and so on. This will free you for other duties. When the media sales people come calling, you can simply refer them to your agency.

Finding a good agency doesn't solve all your problems, however. You must be able to work with it. Some agencies don't know how to handle a college account; some try only to please the client—even when the client is wrong; and sometimes the college refuses to let the agency be truly creative or neglects to give the agency all the information it needs.

How do you select an agency? Douglas Arnold, executive director of Missourians for Higher Education, suggests:

> Before you start searching for an advertising agency, you first must decide what you want your ad campaign to accomplish. If you don't have a goal, the agency you sign with won't know from the outset what you expect. And in the end you won't have a standard for judging whether your agency and campaign have been effective.
>
> The simpler your goal, the better. In fact, I suggest you come up with a one-sentence goal, such as . . . "We want 500 more students to enroll in our continuing education program next year" (Arnold, 1988).

Arnold offers the following criteria to keep in mind when you're selecting an agency:

- Look at the agency's client list. It's a barometer of the agency's health and provides an opportunity to contact past and present clients.
- Look at the agency's experience in your market.
- Look at the number of full-time employees and their roles. Hiring a lot of free-lancers could result in lots of different styles.
- Look at the quality of the agency's promotional package.
- Visit the agency's office to see its resources, how organized it is, how expensive it's likely to be. The more they've got, the more you'll pay (Arnold, 1988).

When you invite agencies to do a presentation, outline your goal and your budget. Ask for some detailed recommendations, but not a fully developed campaign. That's what you're going to hire them for; they may very well object to giving it to you now for free.

Once you've made your choice, hire the agency for a two-year period; the agency needs some certainty and will invest more creative effort at the outset of the relationship. Cover payment requirements and procedures in detail, including commissions and markups. Include an escape clause (a 30-day written notice) and a renewal clause. Find out whether the people who worked on the presentation materials will be the ones who work on your account.

Decide up-front who will give the agency its direction, who will decide on the message, who will control the money. Don't argue about this "while the meter is running."

Provide all the necessary information about your college at the outset. Introduce agency people to key college staff; spend time going over what you

think you need and what you want to accomplish. Ask for regular reports on client contact, progress, and results. Trust them, be open with them, consider their suggestions, and pay them promptly.

While advertising agencies make money on media commissions, that doesn't cover the total cost of handling your ads. Your agency may have to buy type, photography, design, or other services from other sources. Because there is no commission on these purchases, the agency adds a markup (usually 17.65 percent) and passes the cost along to you. When 17.65 percent is added to a net invoice, that amount becomes 15 percent of the new total gross, the same as a media commission. Some media, especially local newspapers, don't include agency commissions in their local rates. When agencies use these media, they often use the markup formula to receive their commission.

Agencies also charge fees when commissions and markups don't meet the cost of agency work or when there are no commissions—for research or public relations work, for example.

Agencies may be interested in a flat annual fee, paid at regular intervals, rather than hourly billing. They can't always wait for sometimes slow college bureaucracies to reimburse their front money for media costs, materials, labor, and so on. A fee arrangement will even out their cash flow.

Evaluating your advertising program

In *Strategic Advertising Campaigns*, Don Schultz and Dennis Martin warn against:

> the trap of trying to measure the total marketing effort, rather than the effects of the advertising messages. The advertising goals of a campaign should be expressed in terms of the communication effect, not necessarily actual sales. Advertising can't control all the variables. . . . People are often unable to answer questions about whether an advertisement motivated them to purchase. Few are actually motivated to action through ads. Most cannot separate effect of advertising from other influences, including past experience, previous ads, sales promotion, etc. (Schultz and Martin, 1979).

Evaluating your advertising won't help you account for non-advertising factors such as referrals by counselors, recommendations by alumni or current students, news coverage of your sports teams or your faculty, special campus events—although advertising can increase their effect. Advertising also can't ameliorate beyond-your-control factors such as changes in the community, the recruitment activity of competing institutions, reaction to tuition increases, or your campus location.

Advertising: Not the total answer, but part of it

Advertising should be just one part of your total marketing mix, not the whole ball game. Advertising can't enable your institution to overcome a bad management decision. Even the best advertising can't improve a poorly designed curriculum or one for which there is no market. In fact, good advertising can make a poorly designed curriculum fail faster by bring in more people who try it and reject it and then tell others.

When everything falls into place, however, good advertising can make a tremendous difference. At Dundalk Community College, Karen Russell points to a 70 percent enrollment increase over a five-year period as evidence that advertising works. At Cuyahoga, advertisements offering a free career guide brought 10,000 telephone inquiries.

Because of our comprehensive nature and our strong community orientation, community colleges have been recruiting nontraditional students for a long time. In the process, we've gained invaluable experience in the techniques of reaching out to different kinds of audiences, and this includes paid advertising.

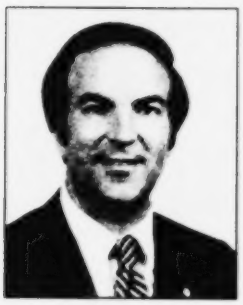
Are we selling education? Low tuition? Our campus social life? No. We're selling dreams, self-fulfillment, challenges, opportunities, accomplishments, pride—the power and value of education, the access it provides. Now we're talking sizzle.

References

Arens, William F., and Courtland L. Bovee. *Contemporary Advertising*. Homewood, IL: Richard D. Irwin, 1982.

Arnold, Douglas. "Desperately Seeking Savvy." CURRENTS, July/August 1988, pp. 22-25.

Schultz, Don E., and Dennis G. Martin. *Strategic Advertising Campaigns*. Chicago: Crain Books, 1979.



Steven W. Jones

Steven W. Jones is president of Phillips County Community College in Helena, Arkansas. His research on the community college has led to the development of successful student retention programs throughout the United States. Recent issues of several national educational journals have featured his concepts in college management and student development.

Jones has 15 years of experience in college administration, marketing, public relations, and retention, and has served as a consultant to more than 60 colleges and universities. He has also served as a faculty member for numerous Council for Advancement and Support of Education workshops and seminars in marketing, retention, and leadership development. Prior to his work in higher education, he was an industrial economist.

Chapter 13

Marketing and Retention in Enrollment Management

Steven W. Jones
President
Phillips County Community College

Marketing, in its purest form, simply means getting a useful product to consumers. In higher education, marketing strategy can be used to provide a more rational approach to student recruitment. As such, it has become one of the most debated concepts among colleges and universities in recent years.

Unfortunately, marketing has an undeserved negative image among many academicians. Some college professionals view marketing as synonymous with hard-sell advertising and promotional gimmickry at its worst (Kemerer, Baldridge, and Green, 1982). This distaste probably grows out of an equal dislike for the term "student recruitment," which many college administrators feel links colleges too closely to the military. Or perhaps it is the close connotation to corporate product development and research that leaves many academicians uneasy with these terms. Whatever the source of aggravation, the objections to marketing in higher education are unfounded.

The primacy of marketing

The unique characteristics of colleges and universities and their governance processes are admittedly different from those in business, industry, and the military. As such, colleges require marketing concepts that are sensitive to those differences. However, both marketing and recruitment are necessary in

today's postsecondary education market which offers learning options that extend far beyond the college classroom. With competition for students becoming more intense, investments in quality marketing programs have become essential. Some colleges may insist that they are not involved in marketing; however, most are aggressively developing marketing plans that will direct their quests for enrollment well into the next decade.

The primary goal of marketing in any setting is to influence mass behavior (Rados, 1981). The function of marketing strategy in higher education is to increase consumer (student) awareness of the product (programs and services) and to enhance the image of the institution. Both functions have financial objectives: to increase enrollment in the immediate future and to create conditions that will maintain that enrollment in the long run.

Marketing and recruitment are critical to promoting awareness of program content, location, and availability, as well as pricing and registration. Effective marketing can inform prospective students and motivate enrollment decisions. These outcomes, however, are only short-term accomplishments. Once a student has decided to enroll, marketing messages have little direct impact on whether or not the student completes an educational program. Marketing and recruitment strategies will not build long-term constituencies. They are only a part of successful enrollment management.

Enrollment management includes retention

Enrollment management requires both a short-term market orientation and a long-term product orientation. Enrollment management is more than an assertive approach to ensuring the presence of students at a given college. It is also a proactive posture to indoctrinate those students into the college community in a manner that satisfies both academic and social priorities. It implies a holistic approach that integrates college mission, program quality, marketing, admissions, orientation, student service, and retention.

With the traditional cohort of college students forecast to decline over the next two decades, it has become increasingly clear to many community colleges that keeping students is at least as important as attracting them (Jones, 1982). Keeping students (or encouraging and realizing re-enrollment) is, in its simplest form, called "student retention."

The temptation to stop with that definition is great, but retention requires a broader perspective than marketing. Where marketing is a short-term enrollment-building process, retention is a long-term enrollment-maintenance process. Marketing success will be short-lived if student success and retention do not precede it in the next marketing cycle.

Simply put, dissatisfied students leave college, taking others with them and telling prospective students not to attend that college. The long-term negative

influences of dissatisfied students work to counteract positive college publicity. Even the slickest marketing campaign will not serve as an antidote against the negative experiences of former students shared within their spheres of influence. So retention must be defined as much more than a mechanical re-enrollment of students. It must be defined as "the process of re-enrollment that is appropriate and consistent with students' educational objectives and expectations" (Jones, 1988).

As such, retention requires a knowledge of the educational goals of entering students and the expectations that they possess about both academic and student life. It demands careful monitoring of student progress and a sharing of information regarding academic preparation and priorities. It requires a detailed structuring of social integration into the college community. Colleges that expect high retention rates must give their students a chance to discover their talents, limitations, and ambitions. They must enable students to develop skills through exciting and substantive learning and personal growth experiences that they can relate to their future success.

If the variables that influence re-enrollment decisions are indeed this pervasive, how then can colleges organize themselves to effectively increase student retention? The task is not simple, but it is not impossible either. Colleges must plan and implement campus-wide retention activities that, when combined with effective marketing strategies, will enable them to achieve their enrollment management objectives.

Principles of retention programs

Three general principles govern successful student retention programs. The first is that student attrition is the result of an extremely intricate interaction among a large number of academic, human relations, and social variables. Institutions focusing isolated retention activities on perceived single causal factors find that their efforts possess little magical influence on student attrition (Jones, 1986).

The second principle is that improved educational experiences, not retention, must become the objective of institutional retention programs. Student growth and success lead to the inner desire of students to continue their programs of study and to re-enrollment. Retention is simply a by-product of improved educational programs and services, in the classroom and elsewhere on campus, that contribute to student success (Noel and Levitz, 1983).

And finally, the third principle requires successful colleges to structure personal contacts between students, faculty, and staff members outside the classroom. At community colleges, twice as many students drop out for nonacademic, social reasons than because of academic jeopardy. Research shows that contact between faculty and students beyond the confines of formal academic boundaries is the single most significant deterrent to student attrition.

It is important that an institution focus only on "unnecessary" student attrition (Jones, 1986). This requires a mindset that all student attrition is not necessarily bad and that there will inevitably be a certain level of "natural" attrition that occurs when students drop out due to conditions beyond the control of the college. This is particularly true for community colleges, where large numbers of students are committed at the margin.

Unnecessary attrition, the type that can be predicted and prevented by the institution, must become the target of all retention activities. Accepting that focus requires a philosophy that recognizes that institutional deficiencies contribute to attrition as much as student deficiencies (Zwerling, 1980).

Timing specific interventions

The timing of retention strategies is just as important as their substance. Student attrition can take place at any number of points in the college experiences of students. They may:

1. inquire but never apply;
2. apply but never enroll;
3. enroll but never attend class;
4. attend but not complete a term; or
5. complete a term but not re-enroll.

The frequency of student departures at each of these critical points will vary from one college to another, but the departures themselves can be predicted and, in many cases, prevented.

Inquiry to enrollment. Student retention begins with student recruitment and marketing. It is during the process of seeking information and applying for admission to college that prospective students form their first impressions of the social and academic character of the institution (Tinto, 1987). These early impressions often determine students' expectations about a college, and these expectations in turn color future experiences at that college. Expectations are potent influencers of human behavior. The underlying "theories of expectation" that shaped Keynesian economic policy during the Depression are equally potent in shaping college enrollment decisions (Keynes, 1936).

Unrealistic or mistaken expectations about the academic quality of an institution or the nature of social interactions can lead to student dissatisfaction. One way to prevent these pre-entry misconceptions is to carefully evaluate the marketing and admissions materials that the college distributes. Complete honesty is always the best policy for college publications and admissions counselors. Selling overly optimistic expectations to prospective students may increase short-term enrollment, but will more than likely increase attrition when students experience reality.

Once students inquire about admission, colleges should carefully structure a cadre of follow-up interventions to motivate enrollment decisions. These

may include direct mail, telephone calls, campus and in-home visits, and contacts by currently enrolled students and faculty. Prospective students secure information about the college from a number of off-campus sources as well. News media, high school counselors, employers, school newspapers, career days, and former students are obvious sources of information that influence enrollment decisions. The more accurate and complete the pre-enrollment information these prospects receive, the less likely they will experience dissonance between expectations and reality.

Colleges should take the necessary steps to improve the quality of this information from secondary sources. Good media relations, honest advertising, and college newsletters to counselors, alumni, and business leaders are all parts of the information network. Many community colleges host periodic workshops with area high school counselors and personnel directors. Because these professionals are in frequent contact with prospective students, it is important to keep them aware of changes and improvements in programs and services at the college. Providing students with individualized assistance with financial aid is another significant motivator to enrollment.

Enrollment to attendance. Increasing numbers of high school graduates enter college only to discover that they do not possess the skills requisite to college success. Unfortunately, these students do not discover their deficiencies until they participate in some type of pre-enrollment assessment. They have erroneously assumed that their high school diplomas validate their college readiness. Learning otherwise is a traumatic experience—one that can easily lead students to abort their plans for college entirely.

The time between assessment/placement into coursework and actual class attendance is critical to students who have had their academic expectations shattered. Quality advisement is crucial at this point if students are to make the difficult transition into remediation.

Advisers should make certain that students understand that they are still being given an opportunity to pursue their educational objectives; however, their goal attainment will take longer than they originally expected. Successful retention programs do not entirely eliminate academic failure, but they do keep students copiously informed about their progress throughout the educational process.

Attendance to completion. Attrition is a freshman phenomenon. The decision to withdraw from college is most commonly made during the first term of enrollment. It is during this period that new students are experiencing academic self-doubt and are burdened with new roles and environments.

Most new students simply need to know what is expected to complete their programs of study and where to find the help they need to succeed. This seems profoundly simple, yet far too many colleges do not provide this type of information to new students. Freshman orientation programs can provide most of these "how to do" and "where to go for help" types of information. If structured appropriately, orientation classes can also help students establish

personal, nonthreatening contacts with faculty and staff members. These people will continue to provide vital information to students throughout college.

Absence of goal clarity is another contributor to freshman departure from college. Career education and vocational assessments, during orientation or as separate student services, can help students identify their aptitudes and abilities. Once they have done this, they can more effectively relate their educational endeavors to their life goals.

Assessment data, career inventories, admissions information, and entering student surveys can be used to develop an "early warning system." Such a system can identify which entering students exhibit a high probability of dropping out by correlating their personal characteristics and a "research profile" of previous dropouts at that institution (Jones, 1986). New students identified as "high risk" may then be targeted for the provision of special services that will be responsive to their specific needs.

Other college interventions that can have a positive impact on retention during this period include activities to improve study skills, training in library usage, peer and faculty tutoring, and academic support in the form of reading, writing, and math laboratories.

Beyond the initial term. The three main reasons why students depart after the initial term are: academic problems, lack of goal clarity, and failure to become integrated into the social life of the college. Long-term interventions require a dual focus: one on continuing efforts at personal counseling and intrusive advising, the other on efforts to further involve students in the mainstream of campus life.

However, some students will discontinue college enrollment regardless of the institution's retention efforts. Once students depart, most colleges simply write them off as dropouts. They could easily be converted to returning students in the future.

Enrollment success at the community college requires the frequent "recycling" of students, or the supply of local students may some day reach scarcity or even exhaustion (Williams, 1980). The most cost-effective form of recruitment is follow-up contact with former students. Admissions personnel should attempt to re-recruit any student who fails to re-enroll. Students who have made decisions to leave a particular college are painfully honest about their reasons for doing so. Their evaluation of college effectiveness can serve as a catalyst to making cost-effective improvements in college programs and services.

Conclusion

Effective marketing strategy is definitely an impetus to increased enrollment, but elaborate marketing plans are only a part of long-term enrollment man-

agement. Successful community colleges of the future must make student needs and interests the focal points of their efforts today. They must develop programs and services around students rather than expecting students to modify their needs to better fit existing delivery systems. In most cases, additional resources are not necessary to implement a successful student retention program. Most institutions simply need to do a better job of targeting existing programs and services to those students who need them.

References

Jones, Steven W. "Attrition: A Freshman Phenomenon," The Freshman Year Experience and Beyond, Conference at the University of South Carolina, 1988, in Columbia, South Carolina.

Jones, Steven W. "No Magic Required: Reducing Freshman Attrition at the Community College." *Community College Review*, Fall 1986, pp. 14-19.

Jones, Steven W. "Retention Activities That Work." *ERAC News*, Eastern Regional ACCTion Center (Pendleton, SC), June 1982, pp. 1-4.

Kemerer, Frank R., Victor Baldridge, and Kenneth Green. *Strategies for Effective Enrollment Management*. Washington, DC: American Association of State Colleges and Universities, 1982.

Keynes, John Maynard. *The General Theory of Employment, Interest, and Money*. New York: Harcourt, Brace, 1936.

Noel, Lee, and Randi Levitz. "National Dropout Study." American College Testing Program, National Center for Advancement of Educational Practices, Iowa City, 1983.

Rados, David L. *Marketing for Non-Profit Organizations*. Boston: Auburn House, 1981.

Tinto, Vincent. *Leaving College*. Chicago: University of Chicago Press, 1987.

Williams, William G. *Enrollment Strategy*. Charlottesville, VA: Share Publishing, 1980.

Zwerling, Steven. "Reducing Attrition at Two-Year Colleges." *Community College Review*, Fall 1980, pp. 55-58.

William W. Lace

William W. Lace has served as director of college relations at Tarrant County Junior College in Fort Worth, Texas, since 1981. Prior to that, he was director of the News Service at the University of Texas at Arlington and was a sports writer and columnist for several Texas newspapers.

Lace has served as a board member and chair of CASE District IV. He has been active with the CASE Commission on Two-year Institutions and was national trustee-at-large for two-year colleges from 1985 to 1987. His articles on advancement have appeared in CASE CURRENTS and in the *Community, Technical, and Junior College Journal* of the American Association of Community and Junior Colleges.

He has been a presenter at national and district workshops conducted by CASE and by AACJC's National Council for Marketing and Public Relations.

Chapter 14

Internal Communications

William W. Lace
Director of College Relations
Tarrant County Junior College

The viewbook says: "The modern facilities and gracefully landscaped grounds at Ivywall College provide the special kind of environment conducive to a meaningful educational experience."

The visitor sees: peeling paint, broken furniture, trash from fast-food stores moldering under the shrubs.

The viewbook says: "Don't wait another minute! Pick up that phone now and let the friendly folks at Ivywall give you a head start on your future."

The caller hears:
"IvywallCollegeofficeofadmissionspleaseholdthankyou(click)."

The viewbook says: "We know that college can be almost overwhelming at times. That's why we have a staff of trained, dedicated professionals ready to help you along the way."

The student hears: "Sorry, I know that you attend class at night, but the counseling, testing, and financial aid offices close at 5 p.m."

What's happened here? Whoever is in charge of marketing Ivywall College may have been doing all the right things in getting the message out to prospective students. The viewbook may be a thing of beauty. Bubbly recruiters may have infected hordes of high school seniors with their enthusiasm for the college. The radio jingle may be catchy and the billboards eye-catching.

This, however, is one of those cases in which the kingdom may be lost for want of a nail. The marketing staff may have spent a great deal of time, effort, and money in communicating externally, but has forgotten that what happens internally is even more important. Promotion is not the be-all and end-all of marketing, but only a part of the equation. Once the image of the institution has been implanted in the mind of the prospective student, there must be at

least a close approximation between expectation and reality. And the reality found by the students coming to our campuses is determined, not by folks in the PR office, but by the attitude and performance of those with whom the students come in contact and those whose jobs affect the physical environment.

Rowland maintains that "a college or university that neglects its internal relations cannot maintain an effective external relations program" (Rowland, 1986). It's not enough that people should be told to do a job well; they need to realize the *need* for doing it well and the results of doing it badly. According to a study on service orientation, customer relations mirror employee relations (Nemeroff, 1980).

The consequences of a marketing program skewered by the lack of what Kotler and Fox call a "marketing orientation" on the part of the faculty and staff go far beyond the loss of a prospective student who hangs up in disgust after being on hold for five minutes or a student who drops out, thinking no one cares because the people he needs to see are never there (Kotler and Fox, 1985). These persons aren't likely to suffer in silence; they will vent their frustrations by telling others what a lousy deal they got.

Students overwhelmingly cite word of mouth—what they hear from a sister or cousin or some guy who heard it from another guy he knows at work—as their primary source of information about a college, a source likely to be given more credibility since it doesn't come from the institution. And word of mouth may be an especially prevalent source of information for the two-year college, which frequently draws students from the immediate geographical area. A single unhappy camper, therefore, may sour the entire cabin's perception of the institution.

The disillusionment may be even more pronounced among two-year college students. Many of them are the first in their families to go beyond high school. Many are enrolling after having been out of school for a long period of time. Most are working. Many are married and have children. For these students, or prospective students, "college" is an overwhelming and terrifying concept, one they never thought to face. Anxiety is high and self-esteem low. It requires a great deal of courage for many students to take such a step, and the slightest hint of indifference or callousness may send them running for cover.

In our external marketing efforts, we may have sold them on what we can do and how we can help. Once they're sold, it is up to the college to deliver. The correct decision of what college to attend depends on the student having been given the right information (Hampton and Zabin, 1970).

Marketing depends on everyone

It might seem as if there is little connection between a college's marketing effort and a trash-littered campus, but not when you consider that each and

every contact the prospective or current student has with the institution can be called "marketing." We read that marketing and a marketing orientation must begin with the chief executive officer and the governing board and spread throughout the organization. That's very true, but how far does marketing really spread?

Too often, marketing is thought of as the province only of the marketing director, or the admissions office, or the public relations office. The success of a marketing program, however, depends as much on the support of the individuals who implement it as on the program itself (Topor, 1983).

Meeting the needs of students in a marketing-oriented college requires that employees work as a team (Kotler and Fox, 1985). More enlightened colleges may recognize the internal marketing parts played by faculty members and counselors, those who have day-to-day contact with students and who are instrumental in retention. No one would disagree that this segment of the college staff plays the most important role, but what of the other members of the college staff? Topor says flatly that, "Marketing is a concern of every member of a school, college, or university" (Topor, 1983).

Besides the college rep who makes a presentation at the prospective student's high school, who is the first person on the staff to be in contact with the student? If the contact is by telephone, it will probably be a switchboard operator, secretary, or clerk. Are these people courteous? Knowledgeable?

If the student comes to campus and doesn't know where to go, he or she may ask a security officer or a groundskeeper. Do they know where the registrar's office is? The financial aid office? Remember, whether you are selling shoes or education, the first impression is often the most lasting (Hampton and Zabin, 1970).

To be sure, some college employees may have no direct contact with a student. A computer technician may never budge from her terminal. A boiler operator may work from 11 p.m. to 7 a.m. and never even see a student. Yet when the computer goes down (again!) or the classroom is too hot or too cold, these people have affected the student's perception of the institution. Thus, every employee of the college is involved, to a greater or lesser extent, in the college's marketing effort. Montana states that each member of the staff communicates what he or she—and the institution—does every time that person shakes a new hand (Montana, 1978).

Informed employees spread the word

Keep in mind also that all employees, at whatever level, are potential sources of information on the college when they're off the job, as well. If someone in the community is considering enrolling and knows people who work at the college, they may well be asked what kind of school it is—even if they have no connection with the academic program.

Now, who needs to know what? What is the minimum amount of information needed by every member of the college staff? Obviously, those in a position to be asked a wide range of questions by students and prospective students—admissions officers, for instance—require a wide range of knowledge; they should have at least a nodding acquaintance with every aspect of the academic and student services programs. Accurate information from these sources is crucial, and these people should be able to go beyond a student's question to ascertain if there is something else he or she needs to know, but has not asked.

Everyone in a two-year college has, at one time or another, heard the complaint that courses won't transfer to a four-year college. In almost every case, this has occurred when a student attempts to transfer a technical or vocational course to a university—say, typing to apply toward a bachelor's of Business Administration. Many two-year college students haven't traveled the often tortuous paths of higher education long enough to know the right questions, and it's up to staff members to probe. Yet the student who is a victim both of slipshod advising and his or her own ignorance will confidently pass along the word that, "You don't want to go there. Their courses don't transfer."

To a lesser extent, faculty members need to know about the college's programs and services outside their academic disciplines. If teachers subscribe to the two-year college philosophy of service to the student, then they may find themselves de facto counselors, asked advice about everything from changing majors to an overdue library book. The extent to which many two-year colleges employ part-time faculty poses a special problem: the need to instill a marketing orientation in a large section of the workforce composed of people whose ties to the institution may be slight.

Students may ask other professional staff members—librarians, student activities directors, administrators—for aid and information on matters outside their normal areas of expertise. The student may not be able to differentiate between those who can and those who cannot logically be expected to help. The mere fact that a person is on the staff in any capacity makes him or her a "knowledgeable" source for the student who needs help and needs it now.

Support staff members such as clerical or custodial employees will also be sought out for information, but it is likely to be of the "Where do I go to . . . ?" variety. It isn't too much to ask that every employee know where to tell the visitor or student to go or call to get the correct information. For this reason, it's a good idea to have a central information counter with a telephone. Don't put a student assistant at this counter, or someone whose command of English is less than ideal. And depending on where your college is located, you may need to find someone who is fluent in *both* the languages in the region. Consider hiring a retired counselor or faculty member who wants to maintain his or her connection with the college and also appreciates the part-time income.

A sense of mission is essential

There is an aspect of internal marketing that goes beyond knowing where the cafeteria is and whether psychology will substitute for speech on the degree plan. Every member of the staff, from the CEO down, must have a firm grounding in the mission and purpose of the college and should know at least some of its history. A college that fails to communicate its institutional objectives to its own staff certainly will be hard pressed to communicate them to external constituencies (Rowland, 1986). All of us need to know our college's reason for being, when and why it was established, what our constituencies expect of it, and how it fits into the local, educational, and global communities. We need to know that what we do matters and what our college does matters.

Topor illustrates this point with the story of two stonecutters working on St. Paul's Cathedral in London. When asked what they were doing, one replied, "I am cutting stone." The second said, "I am building a cathedral" (Topor, 1983). Brennan says that employees need to be able to answer the question of whether or not their job is worthwhile with either a "resounding yes" or at least a "definite maybe" (Brennan, 1974).

We need to be aware that students are at the center of all that we do and that all that we do has a bearing on how students feel about the institution. All staff members should feel that it is "their" college. The best effort comes when the employee thinks that his or her destiny and that of the college are connected (Brennan, 1974).

Why? If a custodian can refer a visitor to the information desk, so what if he doesn't know what purpose the college is supposed to serve? The answer is that a sense of mission is essential to a sense of belonging and a sense of belonging is essential to a true team effort, which is what marketing must be.

A newsletter can build team spirit

Heretofore, we have discussed the need for all employees of the college to realize their individual importance in achieving a marketing, student-oriented atmosphere; we have touched on the types of information that students need to know and college staff should be able to tell them. The operative question for the advancement officer is: How is this information communicated?

It's tempting to say that the imparting of routine information—what Sergeant Friday used to call "just the facts, ma'am"—is simple, much simpler than the task of creating a marketing orientation. The truth is that communication is never simple, particularly in a large organization, and the job is more difficult as the organization becomes larger. Many two-year colleges with more than one campus location face special challenges.

Wherever two or three are gathered, at least one of them will want to start a newsletter. This is the classic method of disseminating information to faculty and staff. It may not be the best method. Face-to-face, one-on-one communication is the most effective, but a newsletter is probably the most efficient. In addition to telling the staff what events are scheduled by the college, the newsletter can relay personnel changes, changes in personnel policies, and actions by the governing board or by other agencies that might affect employees.

It's important to get this type of information out quickly before the rumors have time to spread. Rowland emphasizes the importance of important information reaching the staff through official channels instead of via the grapevine (Rowland, 1986). Some news, therefore, should not wait for next month's issue, but should be put in an "extra," photocopied, and sent to each employee.

The newsletter, however, can be much more than a clearinghouse for information. It can help give the reader a sense of what the college and its people are all about. The mission can be illustrated by stories on former students, perhaps some from disadvantaged backgrounds, who have been helped, not only by the college, but also by a particular person. The newsletter might profile the newly elected legislator who first was involved in politics by a government instructor, or the older student who was able to succeed with the help of a sympathetic counselor.

This "people helping people" approach humanizes what otherwise might seem an impersonal, monolithic institution. The newsletter is also a good place to highlight employee accomplishments, whether it be a book written by an instructor or a cost-cutting method devised by a food service worker.

All work and no play make for a dull newsletter. Your faculty and staff members have a wide range of interests and involvement off-campus. Does the new English teacher play in a rock band on weekends? Does an electrician raise prize orchids? Has the media specialist been named United Way volunteer of the year? The story possibilities are endless, but ferreting them out takes a lot of legwork.

Human interest articles such as these may be as important as ones on employee benefits because they help people get to know each other as people, not just as faces in the accounting department or registrar's office. If a team spirit is your goal (and it should be for good internal marketing), then knowing the other players on the team is vital.

It's also vital that *everybody* be made to feel a part of the team. This is sometimes difficult in a higher education setting, particularly in a two-year college. First, it's easy to get, and to give, the impression that faculty are the stars of the show and everyone else mere spear-carriers. After all, the heart of the enterprise is classroom instruction, and this is carried out by the faculty. It's faculty members who receive recognition for research and go hither and yon to deliver papers on what to those outside the disciplines are rather esoteric subjects.

Part-time faculty may sometimes get the feeling that they're second-class citizens, receiving as little in the way of attention as they do in salary. Make an effort to include items on these members of the college family in the newsletter. You may have to do some digging to get story leads, but it can pay off handsomely.

How often should you publish a newsletter? It depends on what form it takes and how much you want to spend. It can be as simple as photocopies of a typewritten sheet done weekly, or even daily, or it can be magazine quality, with coated paper, color, and photographs. There's no denying the appeal of a slick publication; it makes the institution appear first-class in the eyes of the employees. But it can be very expensive. One solution might be to combine the "image" material with news items in a newsletter that goes to a wider constituency—former students and community leaders, for instance. The more mundane items, those of interest only to employees, can be conveyed through a less expensive piece.

Unless your college is very small, distribution of the newsletter will be a problem. Sending 100 copies to the maintenance office and hoping they'll find their way into the hands of each employee is a hit-or-miss (very likely miss) proposition. You could put one in each person's mailbox—if everyone had a mailbox. Or you could mail the newsletter to the home of each employee. This costs some money (although not as much as you might think if you do it under a second-class permit), but it has some notable advantages. First, people receive it at home where you can presume they have the time to sit down and read it, rather than on the job, where you presume they don't. Second, they can share it with their spouse and children, and in this way the whole family becomes informed about the college.

There is another printed communication on campus that may be better read than the newsletter, and that is the student newspaper. A good working relationship between student journalists and advancement professionals can enhance internal communication. In spite of (or perhaps because of) what seems at times to be an incessant barrage of negative stories, the student newsletter is more influential than we might care to admit.

The personal touch

The printed word, however well presented, should not be the only form of internal communication. Blake writes that a program of internal communications relying exclusively on publications will fail (Blake, 1983). A more personal touch needs to be employed whenever possible and necessary. People communicate best with other people, not with inanimate objects (Brennan, 1974).

No college should be so large that the CEO can't find time to speak to faculty members or have a cup of coffee with any non-faculty employees who care to

come by. "There is no reason acceptable to employees for [the CEO's] internal communications to be confined to memos and bulletins," according to Cutlip and Center (1978). And these meetings should not be opportunities for the CEO to take the pulpit and preach to the flock. Effective internal communication must be a two-way street. Rowland calls the selling of management's view from the top without stimulating communication upward the most common failing in internal relations (Rowland, 1986).

Feedback is necessary to ensure that a communication is received, perceived in the correct way, and acted upon. Nemeroff's study cites measurement and feedback, along with involvement by top management and a people orientation, as the primary factor in achieving effective customer orientation (Nemeroff, 1980). Keep your newsletter from becoming an administrative mouthpiece by meeting the issues head-on, by inviting guest columns by staff members, by having a "letters to the editor" section. If it is important that all on the faculty and staff feel as if they "belong" to the college, then it is imperative that they feel they have some voice in what goes on. Nobody enjoys being in a work situation where they have no say in what happens (Brennan, 1974).

Not only is it good business and good communication, it is also good marketing. Some of the most innovative marketing ideas can come from the so-called rank and file. After all, these are the folks who have the day-to-day contact with students and visitors and perhaps can spot flaws or opportunities that escape the administrator or the marketing director. Encouraging employee input can help create an environment in which people can more readily identify with the college's mission and goals (Brennan, 1974).

The faculty and staff can also be made a direct part of your marketing program in ways beyond making suggestions on a survey. If you use a marketing committee, consider appointing a senior secretary, perhaps, as a member. Secretaries, as we all are well aware, know more of what's really happening than anyone else. If the college has a booth in a shopping mall or at a high school or community event, ask support personnel to help staff it. They'll likely be flattered to be asked and may well be your most enthusiastic volunteers. It will call for extra work on the employee's part, but "employees won't put more into their jobs until they're given the opportunity to do so" (Brennan, 1974).

Involving employees: From orientation to recognition

If we believe in the bent twig and tree theory, the best time to inform staff members about the college's marketing philosophy and their role therein is when they begin employment. A meaningful orientation should deal with more than policies and procedures; it should also seek to explain the institution to the newcomer, to make him or her feel a part of something larger than an individual department or office. Pope cites the orientation at Walt Disney

Productions, at which each new worker attends "Disney University" and passes a "Traditions I" course (Pope, 1979). It may not be enough to tell new employees that each person is important to the college's mission. You might prepare a videotape showing the positives or negatives of the performance of a variety of jobs in all areas of the college. If a videotape is out of the question, consider a session of role-playing.

It might also be a good idea to give new employees something tangible to welcome them into the "family." For starters, you might give them a notebook with their name and the college seal on it, containing pertinent information. Some colleges have followed the lead of banks and other commercial enterprises in giving lapel pins with the institution's logo. These can be worn—but are not required to be—both on and off the job. Others have name badges for employees, especially those in service areas, such as the bursar's or admissions office. The idea is that a nametag enables a visitor or student to attach a name to a face and that employees will get to know each other. The danger is that some employees might view a nametag as a method of assigning blame if students think they are being given poor service.

Just as the marketing process is ongoing, so should the communication of the institution's marketing efforts to the internal audience be done on a continued basis. Goals, objectives, and strategies change, and the faculty and staff should be kept abreast of these changes. If marketing is successfully made a part of everyone's job, it follows that everyone will have an interest in the results. Think about sending each employee an "annual report" on marketing, outlining efforts over the past year and what is planned for the upcoming year. Be candid in describing what worked and what didn't. If every goal was met, most people will believe that the goals weren't ambitious enough.

Achieving a marketing orientation shouldn't be the job only of the personnel department or the marketing director. They don't have the time and staff to do it on their own, especially at a larger institution. And, as Brennan points out, supervisors, not top administrators, manage people (Brennan, 1974). Workshops for supervisors should encourage them to employ, on a daily basis, the types of human relations activities that will demonstrate to their subordinates that students are their "customers" and that good customer relations is in the institution's best interest and hence in their own. This is one of the conditions that must be met before any communication can be successful (Dale, 1973).

You can use several types of recognition programs to make employees—whether faculty or otherwise—feel that they are a part of the organization. Awards for 10, 15, and 25 years of service, cards from the CEO on birthdays or anniversaries of employment—all are easy, relatively inexpensive, and much appreciated. So, too, are memos or, better yet, phone calls of thanks to an employee who has received praise, either from a colleague or from outside the institution—for instance, when a campus police officer helps a visitor change a flat tire and the visitor then writes someone at the college a note of thanks.

Other forms of recognition and reward take effort and dollars. One effective method of showing employees the importance of higher education is through a scholarship program, giving staff members time off and tuition money to take work-related or job-advancement courses on campus. Some of these people, who may have never gone past high school, eventually will get degrees from the college—a natural news story for your newsletter and for the external media.

The institution can give awards for employee performance, but it's important that there be awards for all levels of faculty and staff. To give awards for outstanding teaching, but not for comparable support or service work, is to reinforce the notion that the faculty are the only people the college considers really important.

Conclusion

Like charity, marketing the two-year college begins at home. Sell the salespersons, and they'll sell others. Convince the troops that what they're fighting for is important, and they'll fight all the harder. But the program of internal communication must be ongoing, not only in crunch situations. "Employees wil usually reject the notion that they're part of a big, happy team, all whistling and working together to slay some menacing dragon," says Brennan, "unless they've been made to feel like management teammates all along" (Brennan, 1974).

Marketing higher education comprises not only the design and promotion of programs but also the delivery, the proof of the pudding, as it were. Internal relations, the communication of the institution's mission and goals, can be your greatest marketing asset and the lack thereof can be your greatest liability. Internal communications may be an expensive proposition, but in the long run it's better than the alternative (Brennan, 1974).

As with a machine, some gears, wheels, and cogs may be more important than others, but none is minor. The good will built up over decades, the favorable image of the college carefully cultivated in the mind of a prospective student can be negated in seconds by a rude secretary. And, conversely, the image can be immeasurably strengthened if the perceptions turn out to be, for the most part, founded in fact. Nothing warms the heart of a two-year college person more than to hear someone say, "It's really true! You really *do* care!"

References

Blake, J.P. "Creative Approaches to Institutional Internal Relations." *Public Relations Journal*, March 1983, pp. 22-24.

Brennan, John. *The Conscious Communicator*. Reading, MA: Addison-Wesley, 1974.

Cutlip, Scott M., and Allen H. Center. *Effective Public Relations*, 5th ed. Englewood Cliffs, NJ: Prentice-Hall, 1978.

Dale, Ernest. *Management: Theory and Practice*, 3rd ed. New York: McGraw-Hill, 1973.

Hampton, Robert E., and James B. Zabin. *College Salesmanship*. New York: McGraw-Hill, 1970.

Kotler, Philip, and Karen F.A. Fox. *Strategic Marketing for Educational Institutions*. Englewood Cliffs, NJ: Prentice-Hall, 1985.

Montana, Patrick J. *Marketing in Nonprofit Organizations*. New York: Amacom, 1978.

Nemeroff, Dinah. *Service Delivery Practices and Issues in Leading Service Businesses: A Report to Participating Companies*. New York: Citibank, 1980.

Peters, Thomas J., and Robert H. Waterman, Jr. *In Search of Excellence*. New York: Harper & Row, 1982.

Pope, N.W. "Mickey Mouse Marketing." *American Banker*, July 25, 1979, pp. 4, 13-14.

Rowland, Howard Ray. "Building Effective Internal Relations" in A. Westley Rowland, ed., *Handbook of Institutional Advancement*, 2nd ed. San Francisco: Jossey-Bass, 1986.

Topor, Robert. *Marketing Higher Education*. Washington, DC: Council for Advancement and Support of Education, 1983.

Section 4

Developing Resources for the Community College

Barbara J. Keener

Barbara J. Keener is dean of academic affairs for community college relations at the University of Florida. When she wrote this chapter, she was dean of instructional support and student services at Florida Community College at Jacksonville. Her professional experience includes more than 14 years at all levels of higher education, covering program administration, instruction, and student services. She has given over 60 presentations throughout the country on topics ranging from student services to working with state legislatures.

Keener has served extensively with the National Council for Resource Development, the Council for Advancement and Support of Education, and the National Council for Student Development. She was a member of the National Presidential Task Force on Business and Education, appointed by President Reagan in 1982.

Chapter 15

The Development Plan

Barbara J. Keener
Dean of Academic Affairs for Community College Relations
University of Florida

Planning is what you do before you do something so that when you do it, it's not all mixed up (Christopher Robin to Pooh, *Winnie the Pooh*, A.A. Milne).

The design, implementation, maintenance, and evaluation of the plan of a college's resource development division hinge on two critical components—the external environment and the institutional perspective. The plan's delivery and impact also revolve around two crucial elements—individual performance and the internal system. These four ingredients control and guide the progress of the development office's strategy. Thus, a strategy is only as viable as the elements holding together the development plan.

This chapter focuses on the techniques and tactics essential for a community college's resource development divisional plan. Such a plan "encompasses the translation of the college mission into action using all of the tangible resources (facilities, faculty, program, financial resources) and the intangible resources (reputation, morale, climate) that are available" (Wattenberger, 1982).

In order to dissect the structure of a functional plan, we must examine the ingredients mentioned earlier—external environment, institutional perspective, individual performance, and the internal system. But first consider these fundamentals that are essential if the development office is to do effective strategic planning:

1. The development office is a separate entity within the institution. It has its own staff and an adequate operating budget.
2. Presidential support is sustained.

3. The college's board of trustees is committed to the development office's role and scope.

4. A director, dean, or vice president heads the office.

5. The college's organizational structure inherently links the development function to the rest of the institution.

Without these basics the development office's plan will not take hold and prosper.

Once the development office has reviewed the status of these fundamentals, it is ready to outline and activate an annual operational plan. It's best to begin with the four essential ingredients.

The external environment

In their book *Strategic Marketing for Educational Institutions,* Philip Kotler and Karen Fox describe the external environment as the "macroenvironment":

> The macroenvironment consists of large-scale fundamental forces that shape opportunities for and pose threats to the institution—demographic, economic, ecological, technological, political, and cultural forces. . . . The institution first studies the environment in which it is operating, and specifically the opportunities and threats in the environment (Kotler and Fox, 1985).

On this basis, the office scans the surrounding factors, trends, and implications. In a community college setting, these forces are predominantly within the institution's service area. Therefore, unlike many public universities and four-year private colleges, the office can target its efforts on the immediate community. The majority of students and potential donors are based in this immediate community.

However, even a community college cannot overlook the identification and impact of state and national opportunities and trends. An awareness of global dynamics and state-based priorities is crucial to a community college's objectives and adaptations to its environment. State and federal grants and contracts are also a continual concern for the development office.

In *Megatrends* John Naisbitt reminds the reader that:

> A new information society is emerging, the key resources have shifted to information, knowledge, and creativity. . . . The need for new basic skills in the information society is forcing us to re-invent education. The corporation's need for skilled, well-educated graduates is sparking an unprecedented alliance between business and the schools (Naisbitt, 1985).

All of these swift changes put pressure on the postsecondary educational system to keep pace and adapt in revolutionary ways.

At the core of George Keller's *Academic Strategy* is the message that, as colleges begin and complete realistic financial planning, more decisions must be future-oriented (Keller, 1983). How does this relate to the development office plan?

Three guideposts emerge:

- First, the effective development office has access to reliable and valid data relative to the college's service area. The office is in sync with the key technological, economic, and social forces affecting the college's financial status and curriculum design.
- Second, the office can analyze how these forces will alter external funding sources—grants, loans, and other donor markets.
- Third, the office can foresee alternatives and diverse funding schemes that are flexible in light of various changes in the external environment, especially since the external environment is largely the development office's domain, not to mention the source of most of its fund-raising results.

Ross Webber sums it up:

> Correct perception of the external environment is becoming increasingly important and more difficult. . . . Simply put, more things are going on out there that can affect the organization. . . . Planning cannot be a one-shot affair drafted on paper, to be blindly followed without sensitivity to outside events. Rather, it must be monitored closely and the internal plans adapted as necessary (Webber, 1979).

The institutional perspective

Just as the external environment provides numerous implications for planning, the intrinsic institutional environment and character also shape the college's mission. The development office should be at the heart of goal delineation especially when it relates to resource analysis. Kotler and Fox provide an "Institutional Resource Analysis" schematic for conducting an internal evaluation of college strengths and weaknesses. The development office should join with other key areas to assess each category. Then the office can pinpoint the opportunities based on the resource availability scales. The office should pay particular attention to the evaluation of money and market assets resources. Each item within the categories below should be rated as a high, medium, or low strength; a high, medium, or low weakness; or neutral:

- **People:**
  adequate number;
  skilled;

enthusiastic;
loyal;
service-minded.

- **Money** (income and endowment):
  adequate;
  flexible;
  location quality.
- **Systems:**
  information system quality;
  planning system quality;
  control system quality.
- **Market assets:**
  student base;
  alumni and other donors;
  faculty quality;
  general reputation (Kotler and Fox, 1985).

The "Institutional Resource Analysis" is a formal method for utilizing a college's master plan. Although application of the analysis can provide a synthesis of the college's role and scope, it doesn't deal with the individual components crucial to the detailed strategic plan. The strategic plan should be the cornerstone of resource allocation.

Byron McClenney, president of the Community College of Denver, stresses, "All institutional budgeting should become an outgrowth of the planning process. Planning should be viewed as a prerequisite for the allocation or reallocation of resources" (McClenney, 1985).

The development office finds itself in the midst of such action devised to carry out the institution's total advancement. In other words, the development team has a role in charting the college's course from two angles. First, the team joins with other college leaders to formulate and construct the strategic plan. Second, the team is one of the *focal* points for the activation of that plan. This multifaceted undertaking keeps the development function totally aligned with college purposes and activities. Essentially, the development plan cannot be created autonomously; it is the enabler for numerous other branches of the college. Adaptability, at least on an annual basis, is a key to any successful development office plan.

The plan caters to institutional perspectives in four areas:

1. Levels of needs are balanced against levels of standard budgetary funding. If state and community budgets cannot provide enough funds to meet continuation (budgetary) minimums, then immediate fund-raising campaigns are imperative.

2. Special projects are promoted via external granting agencies and expedited according to external schedules. If grants are available to fund specific projects the college has earmarked as a priority, then proposals are developed and submitted for these projects.

153

3. Long-range operations, which often include major gift campaigns, facility expansion, and community partnerships, are considered. When the college has committed to any or all of the above, it relies on the development office to guide such undertakings. Thus, the office must consider numerous subcategories relevant to each of these purposes.

4. The development office's stage of growth during the specific planning cycle is identified. Harvey Sharron, dean of development at Santa Fe Community College, observes that community college foundations proceed through a three-year long-range plan of operations:

- Year 1: Friend-raising phase;
- Year 2: Corporate phase; and
- Year 3: Planned giving phase (Sharron, 1982).

Similarly, the entire development office moves and expands through growth stages. The development office should be able to identify each stage and relate specialized activities pertinent for each (Naisbitt, 1985).

Before the development office can outline or even discuss any plan, it first needs to give close scrutiny to each of these four areas.

Individual performance

A discussion of planning techniques wouldn't be complete without a review of the people who are charged with designing and activating the plan. There is a plethora of volumes on management, leadership, and groups at work. Today's innovative colleges stress immense regard for the two most important types of people in the enterprise: staff and students (Naisbitt and Aburdene, 1985).

An effective manager leading the charge for a development office examines the office staff and matches individuals with function. In addition, the manager gives guidance and support for every endeavor. The plan's outline must consider the appointed staff appropriate to carry out the assignment. Just as targeted student populations are singled out for segmented treatment, so are staff members aligned with individualized efforts.

Formulation of a development office plan correlates activities to objectives and staff members to activities. The manager inventories staff capabilities, experiences, and style, and matches these staff members to assigned roles in the development plan. Several principles prevail for the management of the college's plan.

First, each staff member needs performance benchmarks to guide his or her involvement. The divisional manager defines the steps, works with the individual, and engages in careful assessment and evaluation at predetermined intervals.

Second, the manager communicates the individual roles to the team. He or she examines the team mission in light of each staff member's assignment.

Interaction along the way is critical to harmonize the activities. Note: This calls for staff meetings and constant communication between staff members.

Third, it is vital that the development office's plan and its immediate staff are visible throughout the institution. All segments of the community college should be absorbed into the generation of ideas and delivery of action propelled by the plan. Keller sums it up, "Strategies need to have a keen sense of the particular strengths and prejudices of the key implementers" (Keller, 1983).

Fourth, Keller's observation also has implications for the involvement of the other plan implementers—the foundation board members and community representatives linked to the development plan. These individuals shape the scope for much of the external fund-raising efforts. Note that they also provide advice and specific information about the community. Unlike various other community college divisions, the development office functions with both sets of individuals active in plan formation and delivery. The college staff and the community representatives are joined in tandem to achieve objectives. Thus, the staff members must not only perform effectively, they must also elicit participation from other college employees and community members.

Again, Keller provides a cogent summary: "Strategic planning is people acting decisively in concert to carry out a strategy they have helped devise" (Keller, 1983).

The internal system

It would be hard (if not impossible) to describe an existing organization that operated without certain intrinsic practices and idiosyncratic tendencies. It is difficult to define such individualized environments, much less to provide schemes for dealing with them. Community colleges vary tremendously in size, curriculums, student populations, staff composition, and operational procedures (to name a few). How, then, can we outline a method for building a development plan within a community college that will be applicable to all—or even most—of these institutions?

One approach is to review the collective data from a recent publication by the National Council for Resource Development, an official council of the American Association of Community and Junior Colleges (Mitzel, 1988). This compendium offers a synopsis of resource development in a variety of two-year colleges. The chapters on the development offices of selected colleges are written by the institutions' presidents. The presidents outline their colleges' development function and discuss the priorities that set the functional parameters.

A comparison of these presidential observations yields some similarities despite extreme variations in institutional descriptions. A summary of these similarities provides a snapshot of the plan's place in the internal system:

1. The development office paves the way to college goals. Judith Eaton, president of the Community College of Philadelphia, believes that resource development should be "evaluated for its capacity to assist in the realization of institutional priorities and the academic model" (Eaton, 1988). David Bartley, president of Holyoke Community College, agrees. He reminds readers that development projects offer a new capability consistent with the institution's mission and goals (Bartley, 1988).

2. Resource development activities build support for renewal and innovative enterprises. R. Jan LeCroy, past president of the Dallas County Community College District, applauds the college's development efforts for keeping the District current and responsive to the changing student population (LeCroy, 1988).

3. College programs should guide development initiatives more often than development opportunities determine college activities. Most of the presidents look to the development plan to proceed according to the college's priorities although occasionally the plan might lead the college to new opportunities.

Within the internal hierarchy system, the development plan takes its place beside the organization's mission and strategic plan. There are numerous means by which to implement the specifics of the plan. One process outlined by Thomas Mecca, vice president for development at Piedmont Technical College, is the Quick Environmental Scanning Technique—ED QUEST (Mecca, 1988). ED QUEST is a multifaceted team-building, goal-setting activity designed for college strategic planning and environment scanning. It features intense involvement of the institution's decision makers and includes prioritizing for resource development management.

Whatever procedure is used, the community college benefits from concentrating on the realistic definition of the college's purpose. Once that is established, open communication within the internal system is the activating and maintaining force for the plan.

Conclusion

Resource development cannot be visualized as a separate arena, striving solely to procure external dollars for random college purposes. Instead, it is an integral factor in the total management and advancement of college students, personnel programs, and facilities. Therefore, the development plan evolves from a collaboration of numerous college and external purposes and procedures. It is based on four factors inherently tied to community college organizational design and strategic planning:

- external environment;
- institutional perspective;
- individual performance; and

• the internal system.

Each element is a substantial building block of the framework for the development plan. In combination, the four elements can move the resource development area into a leadership position blended with a strong institutional identity. The plan is future-oriented and linked to the community college's vision of the decade ahead. Its designers and implementers must be forecasters, team players, organizers, and decision makers.

Development officers must be committed to being directly involved throughout the community college and visible to external constituencies. Planning includes the integration of grant projects and major fund-raising campaigns.

The development plan is the script and agenda for the efficient and effective resource development office. A solidly constructed plan can communicate specific activities for development personnel, guidelines for all community college divisions, and definitive goals for the external environment.

References

Bartley, David M. "Holyoke Community College" in David P. Mitzel, ed., *Resource Development in the Two-Year College*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1988.

Campbell, Dale F., and Associates. *Leadership Strategies for Community College Effectiveness*. Washington, DC: American Association of Community and Junior Colleges, 1985.

Deegan, William L., Dale Tillery, and Associates. *Renewing the American Community College*. San Francisco: Jossey-Bass, 1985.

Eaton, Judith S. "Community College of Philadelphia" in David P. Mitzel, ed., *Resource Development in the Two-Year College*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1988.

Keller, George. *Academic Strategy: The Management Revolution in American Education*. Baltimore: Johns Hopkins University Press, 1983.

Kotler, Philip, and Alan Andreasen. *Strategic Marketing for Nonprofit Organizations*. Englewood Cliffs, NJ: Prentice-Hall, 1987.

Kotler, Philip, and Karen F.A. Fox. *Strategic Marketing for Educational Institutions*. Englewood Cliffs, NJ: Prentice-Hall, 1985.

LeCroy, R. Jan."Dallas County Community College District" in David P. Mitzel, ed., *Resource Development in the Two-Year College*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1988.

McClenney, Byron. "Strategic Planning: Ensuring Institutional Vitality" in Dale F. Campbell and Associates, *Leadership Strategies for Community College*

Effectiveness. Washington, DC: American Association of Community and Junior Colleges, 1985.

Mecca, Thomas V. "Planning Resource Development in an Uncertain Environment" in David P. Mitzel, ed., *Resource Development in the Two-Year College*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1988.

Mitzel, David P., ed. *Resource Development in the Two-Year College*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1988.

Naisbitt, John. *Megatrends*. New York: Warner Books, 1985.

Naisbitt, John, and Patricia Aburdene. *Re-inventing the Corporation*. New York: Warner Books, 1985.

Sharron, Jr., W. Harvey, ed. *The Community College Foundation*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1982.

Wattenberger, James L. "The Case for the Community College" in W. Harvey Sharron, Jr., ed., *The Community College Foundation*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1982.

Webber, Ross. *Management*. Homewood, IL: Richard Irwin, 1979.

Danette L. McNamara

Danette L. McNamara has been vice president for development at Rogers State College for 12 years. She also serves as executive secretary-treasurer for the Rogers College Foundation, is on the Board of Directors of the Oklahoma Higher Education Alumni Council, and is a member of the National Society of Fund Raising Executives.

McNamara served on the CASE Advisory Committee that prepared the monograph, *Initiating a Fund-raising Program: A Model for the Community College*, which was funded by the Exxon Education Foundation. Her doctoral dissertation, completed at Oklahoma State University in 1988, was titled "Characteristics of an Effective Two-year College Private Fund-raising Program."

McNamara acts as a consultant on private higher education fund raising. A frequent speaker at CASE conferences and workshops, she was named a "CASE All Star" for consistently high ratings from participants.

Chapter 16

Private Fund Raising

Danette L. McNamara
Vice President for Development
Rogers State College

There is no longer any speculation or doubt: Community colleges are of necessity and by choice in the private fund-raising business. While only a few community colleges nationwide can boast of raising millions and millions, quite a large number have been moderately successful. Fund raising is rapidly becoming an integral part of the form and substance of the American two-year college, not only for the funds raised but for the friends made as well. Each year more presidential boards recognize private fund raising as essential to the long-term future of their community college.

Before a college establishes a fund-raising program, it should give in-depth consideration to several salient issues:

- key individuals involved in the fund-raising program;
- fund-raising strategy;
- long-range and strategic planning;
- yearly fund-raising goals and objectives;
- cultivation of prospects;
- solicitation;
- donor recognition; and
- resources needed for the fund-raising program.

Key individuals in an effective fund-raising program

No fund-raising effort can be successful without the support and enthusiasm of the key people involved in the effort.

The president. The success or failure of private fund raising in a community college may not depend *solely* on the president, but he or she certainly is the pivot point around which an effective fund-raising program turns. Without strong presidential leadership and commitment, little can be accomplished and whatever is accomplished will have been done with great difficulty.

The president must be able to secure formal endorsement of the effort from the institutional governing board. The fund-raising program cannot succeed without the board's endorsement of the program as an institutional effort *and* its endorsement of the president as an individual.

Gaining this support may not be easy—it can be the first real test of the president's leadership. He or she must convince, educate, and/or sell the board on the idea that a private fund-raising program is a worthwhile investment for the institution. In the eyes of the board members, the necessary commitment of institutional resources may loom as an insurmountable obstacle. The majority of the community colleges throughout the United States are not well funded and may find it difficult at best to justify the investment in a fund-raising program that may take years to realize a substantial return.

Institutional support of four-year college and university fund-raising programs is a long-standing tradition. A significant number of four-year colleges or universities have been in the fund-raising business for years and have established successful fund-raising programs. In contrast, the typical community college, a uniquely American 20th century innovation, either has been in the fund-raising business only a short time or is just starting a program. Most community colleges have not established successful fund-raising programs.

For these reasons, a community college governing board that aspires to an effective fund-raising program is well advised to hire a chief executive officer who is an exceptionally strong individual with excellent qualifications. A president who is admired and respected by his or her business and professional colleagues will give the college a distinct advantage in building a support base for its fund-raising program.

With formal endorsement from the governing board, the president must allocate adequate resources for the staff and fund-raising costs. This is risky business and will be another test of the president's leadership skills, as faculty and staff among others will question this investment. While it may be difficult to sell the fund-raising program to internal constituent groups, their support will help gain the support of external constituencies.

Selling an underfunded faculty and staff on the importance of a fund-raising program is a major challenge. A professionally aware and dedicated faculty and staff may well have critical needs that they see as more important than expenses for fund raising. A healthy personal financial commitment by the president at the outset can help gain internal support.

A third test of the president's leadership will be his or her success in convincing the board, as well as the faculty and staff, of the need for a well-paid development officer who will serve on the president's cabinet and who

will consume a great deal of his or her time. This officer should have expertise and experience equivalent to that of a chief development officer at a well-established and respected four-year college or university.

Unfortunately, many community colleges cannot afford to hire such a person. In that case, the institution, its board, its president, and its faculty will have to "grow their own."

In either situation, the president's commitment to the program is crucial because he or she represents the basic philosophy of the institution through which every major decision is made. The public's perception of the president will have a significant influence on attracting major donors and excellent members for the community college foundation's board of directors (Fisher, 1984).

Chief development officer. The chief development officer should report directly to the president and have the skills, ability, and professional background that will warrant the title of vice president for development or advancement (Fisher, 1984). An exceptional vice president will require top salary and benefits. While this may be very difficult for a community college, the president should hire the very best vice president possible, pay an excellent salary, and enjoy the results. Otherwise, it will be next to impossible to develop an effective fund-raising program.

The vice president must be able to develop a concrete fund-raising program from scratch and produce results. With presidential support, the right vice president can succeed in any institutional environment. The wrong vice president will reflect poorly on the institution and the president.

A strong mutual respect between the president and vice president is essential. The president's confidence in the vice president is critical to achieving success in the fund-raising effort.

The ideal vice president for development should have the following expertise and characteristics:

- fund-raising experience;
- organizational skills;
- exceptional communication skills;
- long-range planning capabilities;
- ability to delegate authority;
- attention to detail;
- willingness to work hard; and
- personal integrity.

The vice president should be willing to follow the president's lead by making a personal financial commitment appropriate to his or her financial ability.

One very important characteristic of the vice president, often overlooked, is an impressive image. Community colleges face tremendous competition for dollars from four-year colleges and universities. To be successful the vice president for development must project a successful and professional image. He or she should be able to meet on an equal basis members of the governing

board, the foundation board, and the business community, as well as chief advancement officers at the top four-year colleges and universities.

Many community college presidents may feel their chances of obtaining the services of such a person are almost nil. While it may be difficult, the president who hires such an experienced professional will find that the results are the raising of substantial funds for the institution. Studies of the community colleges with the most successful private fund-raising programs in the nation will confirm the importance of the services of the exceptional vice president.

The alternative is to hire the best person the college can afford (or is willing to pay for) and then find a consultant to work with him or her. The right consultant can be the key to success for the community college with a limited budget and an underprepared but enthusiastic development officer.

Foundation board of directors. Members of the foundation board are the critical communication link between the college president and the external community. People give to people, not to colleges (Panas, 1984).

Board members should be selected from the top-notch, influential people of the community. These men and women must be able to provide leadership to the central function of the foundation, and they must be able and willing to give major gifts and/or raise major gifts from others. The members of the foundation board of a community college should be just as influential, prestigious, wealthy, and caring about the college as are trustees for major universities. The board, by the reputation and characteristics of its members, represents the foundation and the fund-raising program to the public.

Too often, community college presidents and development officers are more concerned about how many are on the board than who they are. Good board members support the foundation financially and personally solicit from others. If properly selected and cultivated, the members of the board become the best friends of the college and the president's office (Seymour, 1966). Not only do they help the president raise private money, but they also provide a base of support for him or her in times of institutional crisis. A strong foundation board can be the most important and effective ally the president has.

Most important, good board members lend credibility to the institution. By their association they clearly demonstrate that it is acceptable to give to the community college.

Many successful business professionals want to give something back to their communities—just as alumni have done for their institutions from the very beginning. If properly cultivated and motivated, community college alumni will support their alma maters. As the institution that gave them their start, the community college can occupy a potentially strong role in the philanthropic plans of its alumni.

The president should visit prospective board members only after careful research has clearly identified the right people in the community. Whether these people are willing to serve on the foundation board depends to a great extent on what they think of the community college president, both personally

and professionally. The charismatic and sharp president, who is held in high esteem by members of the business community and the college's alumni, will attract the right people to serve on the board (Fisher, 1984).

This is no easy task. It may take years for the board to develop to the point where the majority of the members are committed deeply enough to the college to make major financial commitments or to raise major funds.

Serving on a community college foundation board gives board members the opportunity to form a personal relationship with the president of the college. Board member donors can be sure that their financial support will have a relatively greater impact at the community college than it would at a larger institution. Many donors to four-year colleges or universities never even get to meet the institution's president, much less serve on the foundation board and get to know him or her well.

Successful people are attracted to other successful people. If the president and the college are perceived as successful, then serving on the foundation board offers board members the opportunity to become acquainted with other prominent people.

The development of a job description for members of the board is important. It should define the responsibilities of the position and the approximate time required. The president and vice president should meet with each prospective board member to review the job description; they should ask the prospect to join only if he or she is comfortable with the delineated responsibilities.

Staff. The staff of the development office is important to successful fund raising. One-man shows do not work for long. The scope of work is broad, and the vice president for development should hire—or work hard to develop—an outstanding staff. Most community colleges cannot afford to hire experienced development staff. Therefore, a solid staff development plan is essential. It should include the opportunity to attend professional workshops, make visits to exemplary institutions, and/or benefit from the advice of an experienced consultant. The vice president for development must be willing to invest the time and money necessary to develop a quality staff.

Many community colleges have had a moderately successful private fund-raising program for a year or two, but this has usually been the result of the efforts of one outstanding staff member. Programs built upon such a base have not been consistently successful over the years. A strong staff development program is essential if the institution wants to retain staff and raise substantial funds over the long term.

The entire development staff should be involved in the strategic planning for the department. It is essential that each member of the staff feel responsible for a particular area and internalize the necessity for exemplary performance in that area and throughout the development office. As front-line public relations people, staff members present an image that directly affects the fund-raising program. Consequently, their professional image is an important part of their value to the development office and to the institution.

Members of the development team should be held accountable for their responsibilities in the same manner as the vice president. If any one individual is not essential to departmental goals, the vice president should move quickly to eliminate that position. Nothing is more deadening to the development office—or any office, for that matter—than the presence of too many people performing nonessential tasks.

The team approach works in staff development as well as it does in institutional development. Many projects such as the alumni reunion or endowment banquet provide an excellent opportunity to involve all the staff in a team-building effort.

Consultants. While development officers can relate hundreds of horror stories of consultancies gone awry, the right consultant can make a significant contribution to a community college with an inexperienced development staff and a president who is committed to the program but has little experience and knowledge about fund raising.

The consultant who takes the time to understand the institution's character, environment, location, and mission can help it quickly develop an outstanding fund-raising program, a program of staff development, an education for the president and the foundation board, and a planning model for the future.

It is important for the consultant, the president, the foundation board, and the development staff to be compatible. Before hiring a consultant, the institution should check his or her references thoroughly. The president, vice president of development, and key board members should meet with the consultant to determine his or her capabilities as well as compatibility. The right consultant for most community colleges can be hired on a once or twice a month basis for about $500 to $800 per month.

The best consultant may be a successful development officer from another community college. A recent national survey indicated that the three major obstacles to fund raising are lack of commitment from the president, lack of commitment from the board members, and lack of adequate professional staff. The roles of these key people are usually developed over time and are not present in the beginning stages of a community college's fund-raising program. For this reason, a good consultant can move an institution from base zero to a program that is sophisticated and successful.

It is critical that the president, vice president of development, and foundation board support the hiring of the consultant and are willing to work harmoniously with him or her. If these people don't plan to take the consultant's advice, then the consultant should not be hired.

Fund-raising strategy

We've already outlined the best strategy for raising funds in the community college: Hire the right president and vice president for development and

identify and involve an excellent group of key volunteers to serve on the foundation board.

In America people like to give, and people like to give to people. The right people asking people who like to give will result in a successful institutional development program.

There are literally thousands of nonprofit organizations worthy of private support. Among these are the institutions of higher education, many of which are known for winning football teams, outstanding research, or traditions of academic excellence. People support institutions and organizations for a variety of reasons, but a major one is because it makes them feel good about themselves. People give because they want to make an impact and to be recognized.

In this respect, the community college has an advantage over larger institutions. Even modest donors can have a tremendous impact at their community college. A $1,000 contribution is a nice gift for most community colleges, and the president, board, and staff will spend more time and effort in cultivating and thanking this donor than the four-year college or university will.

A $5,000 gift to a community college can have a major impact and a $10,000 gift a tremendous impact on a community college. Recognition and appreciation for gifts of this size are far and above what would occur at the four-year college or university.

To be cultivated and thanked by a top-flight president, vice president, or foundation board member is far more satisfying and inspiring than if the person is perceived as mediocre.

Planning

Long-range and strategic planning is the essential base for a successful fund-raising program (Keener, 1982). The development plan must be consistent with the institution's long-range plan. Because the process of planning is often as important as the results, all the development staff should be involved. This gives the staff confidence and ownership in the plan, and gives them credibility with both internal and external constituencies.

As part of the planning process, the vice president should develop a yearly set of measurable goals and objectives that have been approved by the president. The goals and objectives should be specific with definite deadlines.

Although planning is the first important step in developing a fund-raising program, all too often it is never even begun. Or the planning may take place and the plan be approved, but then it is never looked at again. This sort of plan merely gathers dust and is of no benefit to the college.

Development officers in community colleges are notorious for their unwillingness to specify, in writing, how much money they will raise and when—for obvious reasons. But the president should not allow this fear of failure to

prevail. Accountability and responsibility are the keys to achieving fund-raising success.

Yearly fund-raising goals and objectives

Each institution should organize and develop a yearly plan appropriate to its size, fund-raising history, and resources. These measurable goals and objectives should include a projected number of cultivation and solicitation calls (Broce, 1979). The president should establish a minimum amount of time that the vice president be off-campus cultivating prospects. Two days a week is a reasonable minimum.

Clearly measurable parameters in planning and organizing are important prerequisites to the ability of the development staff to zero in on raising funds. A majority of the time in the development office should be spent in identifying, cultivating, and asking major donors and prospects for gifts.

Vice presidents for development should be persons of diverse capabilities. Thus, a good development officer may perform a variety of administrative duties. While a broad job description is acceptable to a point, it can be disastrous if other duties divert the office from its primary goal of fund raising. Raising a certain amount of money each year is the primary job of the vice president for development. When hiring the vice president, the president should emphasize this point and make it clear that evaluation and pay raises will be linked to fund-raising results.

Often, even the best development officer ends up doing everything *but* raise money and then blames the president for the institution's lack of success. If the president needs to be educated on the importance of focusing on fund raising and the detailed organization required to raise money, this, too, is the vice president's job. However, it must be noted that the most successful community college fund-raising programs have strong support from the president.

Another frequently heard excuse is that most community colleges do not have the resources to establish and support the fund-raising program. This is nonsense. The community college that develops a comprehensive plan and makes it work will raise money. The best way to raise money is to identify the top prospects and past donors in the community who have the potential to give. A determination of their interest, a well-thought-out plan of cultivation, and a request for their consideration of financial support will bring success.

The fund-raising effort should be like a steam roller. It starts slowly, with staff and faculty giving; it picks up speed when the board begins to contribute, and when the entire community and alumni join in, it becomes so forceful it can't be stopped.

Cultivation

The number one reason that community colleges don't raise more money is that they don't ask for it. But before potential donors can be asked, they must be identified and cultivated. The development office must formulate a well-conceived cultivation plan for each prospect.

A donor must be interested in the institution and be asked to give by someone he or she knows, likes, and trusts (Panas, 1984). The vice president for development is responsible for organizing special events and cultivation activities to involve prospects, bring them to campus, and interest them in the college.

One personal cultivation activity the author has found to be successful is a monthly luncheon with the president. Each month the development office invites 10 to 15 guests to have lunch with the president. The luncheon brings people to the campus, updates them on what is happening at the college, and invites their participation. Past donors, prospects, opinion makers, community leaders, and alumni are invited.

This event is even more effective if a member of the board is willing to attend the luncheon as host or hostess and to underwrite the cost of the meal. The author has found this to be one of the most effective means for identifying and cultivating prospects and potential foundation board members with outstanding results.

A successful cultivation activity gains new friends and keeps old friends and loyal supporters. People usually give major gifts to an institution only if they feel good about the president, the college, the foundation, and the members of the board. Remember, people give to people they know, like, and trust.

Solicitation

As previously stated, the number one reason people don't give is because they aren't asked (Panas, 1984). Community colleges often don't ask because they perceive their institution as not worthy of a donor's support.

Sometimes the vice president for development and the president do not believe that they have a case for support. They have limited confidence in their own programs and in the publications that tell the institution's story. The fund-raising effort will be successful if the president believes in the institution he or she serves and has the ability to tell the institution's story and tell it well.

While the president calls on the very top prospects, no one is a top prospect until the chief development officer has identified him or her as such. It is the vice president's responsibility to identify the top prospects most appropriate for the president to ask for gifts. A good vice president uses the president as the "star" or as a specialist who enters the game only at the right time.

Presidents can find many reasons not to make calls. If this is a continuing problem, the vice president should establish a method to set up the appoint-

ments or ask a key board member to do it. Sometimes the vice president is also reluctant to make calls; in this case, it may help if another staff member is responsible for setting up the appointments. Once an appointment is made, the president or vice president will feel committed to calling on the prospect.

The solicitation plan should include a list of new prospects and past donors to be personally contacted. The development office should have an individual file on each major prospect containing all pertinent records and information. The office should also develop a personalized plan of cultivation and solicitation for each individual to be called on during the year.

The ideal solicitation call is made by the president and a board member, the president and the vice president for development, and/or the vice president and a key volunteer. As many people as possible should be involved constantly and consistently in personal cultivation and solicitation. In addition, the development office should solicit through direct mail and hold a yearly phonathon.

The scope of the institution's fund-raising program will depend a great deal on the size of the institution, the resources available, and the overall commitment of the president. The smallest and most inadequately funded program can still be successful. Personal cultivation and solicitation calls are the most effective and can be done on a limited scale with one part-time staff member if necessary.

Donor recognition

People want recognition. It is almost impossible to thank people too often or too much (Panas, 1984). A cardinal rule for community colleges is to thank every donor sincerely and keep up-to-date recognition records.

While donors love plaques, engraved glasses, mugs, lapel pins, and umbrellas, a personal note is one of the very best ways to thank someone. It is important that major donors be thanked over and over. Repetitious though it may seem, it is the best way to cultivate donors for future and bigger gifts.

The president should be actively involved in thanking the big donors. He or she should send them a personal note of thanks. The development staff should organize tasteful and sincere donor recognition activities and/or gifts.

Resources

It's hard to specify how many staff members and how big a budget the community college development office should have. It depends on the institutional goals and overall budget. A committed president will take the risk of making sure staff and budget are *adequate*—even though they may not necessarily be what is requested.

Most important is not how large the budget is but that the vice president for development and his or her staff are constantly being evaluated internally and externally. The image of the office must be impeccable; therefore, a cost-effective operation is essential to broad support.

It takes money to make money. For this reason, the development office will often be perceived as having a larger budget and staff than other departments. The vice president must implement strategies that will change that perception or, at least, justify the operation to an observant constituency. Cutting the budget drastically to curb criticism will not work. Donors want to be associated with a professional effort that is efficient and effective.

Conclusion

The key to the success of any fund-raising effort is the involvement and support of the president, the chief development officer, and foundation board members who command the respect of other business leaders. Each individual should exhibit his or her commitment by supporting the fund-raising effort with time, money, and influence. Couple charismatic, respected leaders with a strong support staff, a well-developed plan, and an ongoing written evaluative process, and the result is success.

Fund raising in the community college is here to stay. Successful development offices will provide the funds necessary to differentiate the excellent community college from the mediocre one. For those institutions that want to enter the 21st century with a strong financial edge, the commitment of resources and funds must be made now to develop an excellent fund-raising office.

References

Broce, Thomas E. *Fund Raising*. Norman, OK: University of Oklahoma Press, 1979.

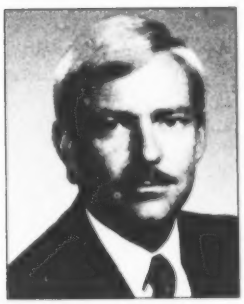
Fisher, James L. *Power of the Presidency*. New York: Macmillan/ American Council on Education, 1984.

Keener, Barbara J. "The Foundation's Role in Resource Development" in W. Harvey Sharron, Jr., ed., *The Community College Foundation*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1982.

Mitzel, David P., ed. *Resource Development in the Two-Year College*. Washington, DC: National Council for Resource Development, American Association of Community and Junior Colleges, 1988.

Panas, Jerold. *Mega Gifts: Who Gives Them, Who Gets Them*. Chicago: Pluribus Press, 1984.

Seymour, Harold J. *Designs for Fund-Raising*. New York: McGraw-Hill, 1966.



Kenneth B. Woodbury, Jr.

Kenneth B. Woodbury, Jr., Ed.D., president of Harrisburg Area Community College in Pennsylvania, has been widely published in the areas of community college administration and two-year college development. He has served as faculty member, dean for resource development, dean for employee relations, and dean for humanities and social sciences at Northampton County Area Community College in Pennsylvania and dean for academic affairs at Mercer County Community College in New Jersey.

Woodbury is active as a consultant on higher education administration, has chaired numerous accreditation teams for the Middle States Association of Colleges and Schools, and currently serves as president of the Pennsylvania Community College Commission.

Chapter 17

Foundations

Kenneth B. Woodbury, Jr.
President
Harrisburg Area Community College

Foundations can serve as the primary vehicle for raising private funds and developing substantial endowments to augment public tax support.

During one year of the halcyon days of the 1960s, community colleges were being founded on the average of one a day. Since that time, many two-year colleges have had to struggle to survive, and today most are attempting to broaden their tax-generated revenue base through support from the private sector.

Throughout their history, community colleges have sought the nontraditional student, and today these students *are* the tradition on community college campuses. Similarly, community colleges are now seeking funding from nontraditional (non-tax) sources, which may soon seem traditional on the two-year campus.

The independent colleges have long mixed tax dollars with private donations. A study done in 1983 graphically illustrates the results (Woodbury, 1983). In the past, private four-year colleges have received as much as three dollars per capita in federal appropriations for every dollar going to a community college and $10 in grants for every dollar received by community colleges. Even in state grants—the traditional source of revenue for most community colleges—the private four-year colleges have enjoyed a nearly two to one dollar per capita advantage.

And while local appropriations have long supported community colleges, the private four-year colleges have received more than 10 times as much as community colleges in local governmental grants per capita. When all federal,

state, and local grants and appropriations are combined, private four-year colleges have received in a year as much as $1,612 per capita compared to $1,401 for public community colleges.

On the other hand, community colleges have tended to neglect the potential of private philanthropy to fill the gaps in their tax support. For every dollar received by private colleges from nongovernmental sources, community colleges have pocketed one penny. In fact, during the decade of the 1970s, private aid for community colleges declined over 15 percent, slipping from $8.58 per capita to $7.25. At the same time, philanthropy for public four-year colleges increased over 47 percent to reach $187.88 per capita, and almost 50 percent for private four-year colleges to the level of $744.37 in 1979-80.

Private two-year colleges have had a healthy mix of tax and tax-deduction revenue. Governmental revenue for private two-year colleges has in the past reached $1,356 per capita, almost at parity with their public two-year counterparts. In private giving, the independent two-year colleges experienced a per capita decline in the 1970s of 6.9 percent, but their support level of $274.47 per capita in 1979-80 still exceeded that of the community colleges by a factor of nearly 38.

Community colleges have been slow to develop endowments. Even the better established community colleges accustomed to seeking private support have tended to use it for ongoing projects, such as the construction of buildings. Their foundations serve as solicitation and collection agencies and dispense their receipts annually.

Voluntary support for education reached $7.3 billion in 1986-87 as reported by the Council for Aid to Education (CFAE) in *Voluntary Support of Education*. The private institutions received 66.5 percent of the total contributed. Public community colleges reported receiving donations of $43,460,000 or 0.6 percent of the total giving. It has been variously estimated that of the 917 community colleges in the country, about 750 of them have foundations. Most of these foundations have been inert and inactive since their creation. Many remain paper entities waiting for some Santa Claus to visit and justify their existence.

Compiling statistics on community college foundations is difficult because over 85 percent of the public two-year colleges choose not to participate in the single best survey conducted nationally—CFAE's *Voluntary Support of Education*. The response rate for doctoral institutions is 89.1 percent; 62.8 percent of the comprehensive colleges respond; and 62.7 percent of the baccalaureate institutions report their private support.

Only 133 community colleges completed CFAE's latest available survey (1986-87). Of the $43,460,000 reported in philanthropy for public two-year institutions, 45.4 percent represented giving for current operations as compared with the 62.6 percent average for all public colleges and 46.6 percent for all private institutions. Capital gifts for property, buildings, and equipment represented 27.1 percent of the giving for community colleges compared with 14.7 percent for all public colleges and 19 percent for all private colleges.

Endowment gifts, whether restricted or unrestricted in usage, comprised 27.5 percent of the community college donations, 22.1 percent for all public colleges, and 33.9 percent for all private colleges. This pattern of private support for community colleges did not differ markedly as to donor purposes from other public institutions and private colleges.

There did emerge substantial differences in the source of philanthropy. Alumni did not represent a significant source of revenue for community colleges. Other public colleges received nearly double the percentage of their private philanthropy from alumni. For independent institutions, the percentage of their private donations received from alumni was nearly triple that of community colleges.

Parents of students were also an insignificant percentage of the community college donors, representing only 0.2 percent, but this group gave 1.9 percent of the total private contributions at independent institutions.

Foundations and individuals other than alumni or parents tended to represent the same percentage of the total support for community colleges (43 percent) as at other public institutions (37.1 percent) and private colleges (42.4 percent). Corporations, however, represented a major source of revenue, comprising 40.5 percent of the community college gift income; corporations gave 29.8 percent of the gift income at other public colleges, and only 17.2 percent at private institutions. Business and industry services and programs offered by the community colleges have obviously been translated into reciprocal tangible support.

Ninety-seven public community colleges reported that their combined endowments totaled $90,024,000 in 1986-87 (for an average of $928,082 per institution). The average endowment held by the 751 private colleges was $61,035,880. Twenty-two community colleges reported endowments exceeding $1 million, 11 exceeding $2 million, and the largest—$18,547,247—was reported by Mott Community College in Michigan.

Purposes

There are many advantages to having a separately incorporated foundation at a community college. As the primary vehic e leading the solicitation of private giving for the college, the foundation board provides the essential entree to potential contributors.

Most community college boards represent a broad cross-section of the community. And while there may be members from the corporate sector, rarely are they present in sufficient numbers to provide access to the many CEOs with whom the college must communicate. Thus, when the college builds a foundation board, it should include members who are, or can provide access to, corporate leaders.

Foundations, as a repository of contributed dollars and even college discretionary revenue, can invest in a broad portfolio of real estate, stocks, bonds, and other investment opportunities such as commodities and collectibles. The portfolio might represent a mixture of high yield and long-term growth. Many community colleges cannot legally invest their capital in anything other than secured notes and bonds. While the yield may be higher, the potential for growth is minimal.

The foundation can hire an investment management firm to invest and reinvest the foundation's assets in accordance with the board's investment policy. A board investment committee oversees the management firm's activities, performance, and proper implementation of the portfolio.

Whether a firm manages the investments or an employee of the college does it, the foundation board needs to have a comprehensive investment policy. Most such policies stress a prudent, balanced portfolio emphasizing maximum rate of return, growth in the endowment principal, security, and stability. In the policy, the foundation should state its position on investments overseas or in companies trading in or with politically sensitive countries.

A foundation can be for a mixed use or a single purpose. Some function as collection agencies to hold capital for relatively short periods of time and then dispense the funds to the college for scholarships, building construction and renovation, instructional equipment, and other uses. The principal, plus accumulated interest and dividends, is available to the college.

A foundation can hold and manage real estate or lease or own certain college operations such as the bookstore, cafeteria, or vending machines. A facilities foundation can help ensure that collected monies can be used at the college's discretion rather than being dedicated to the general operating budget or reclaimed by the state or local sponsor. Otherwise, the state or local sponsor might appropriate profits from auxiliary enterprises to reduce its own financial commitment. Leasing selected auxiliary operations helps preserve the profits for special purposes.

In localities where direct operation by the college would be legally restricted or politically sensitive, the foundation can operate child-care facilities and other student or academic support services, such as a travel bureau or computer services. The foundation can own or lease apartment or business complexes that have been given to the institution and the liquidation of which would prove economically disadvantageous. Where campus size is an issue, the foundation can hold land and lease it to the college as needed.

Donors who want to include deed restrictions on a gift of land to the institution could find their gift discounted for income tax purposes. But if the donor gives the land to the foundation without restrictions, he or she can retain the tax benefits. The foundation can later lease the land to the college or other tenants or even subsequently sell the holdings and impose deed restrictions that if done originally would have reduced the donor's tax benefit.

A mixed use of the foundation resource offers the greatest flexibility to the college. Multi-purpose foundations can own or lease real estate; manage properties and auxiliary enterprises; build endowments; and receive and invest money and return to the college short-term investments. But if the college seeks long-term financial stability, it can't "eat its seed corn" every year. Donors and donations both need nurturing.

An endowment offers the college predictable future revenues. It's easier to plan human and physical resource development as well as scholarship assistance. If the college spends all the donations it receives during the year, it cannot depend on these gifts in future planning.

Developing an endowment is like dieting—it takes discipline. It's hard to resist the temptation to allow current employees to spend those accumulated assets rather than husbanding them to benefit future generations. Likewise, political forces may pressure the college to spend gifts to reduce sponsorship obligation on the operating side. But the deferral of spending is well worth the effort. And the foundation can create a custodial account for short-term investments to support "in and out" projects during the year, while the bulk of the contributions go to the development of an endowment.

Organization and control

Foundations are separately incorporated. They must receive IRS 501(c)(3) approval in order for contributions to qualify for federal and state income tax deductions. Maintaining the independence of the foundation is essential.

Although the foundation is managed by college officials, the foundation must be—*and appear to be*—separate. Otherwise, independent auditors as well as the state and/or local sponsors could consider the college and foundation as a single entity. Commingling monies, informal fund transfers, use of college stationery to conduct foundation business, pooled foundation and college investment funds—all contribute to a blurring of the distinctive differences between the college and the foundation.

Separateness does not mean, however, that the foundation could develop policies at cross-purposes with the college. The articles of incorporation of the foundation can list the college's board of trustees as the incorporators; and the members of that board can serve as "members" of the foundation. These foundation members then elect the foundation directors who have the responsibility of overseeing the activities of the foundation.

The bylaws can stipulate that the principal office of the foundation is on the college campus; the statement of purpose should specify operating conditions to prevent dysfunctional activities or contradictory policies and practices. It can compel coordination and prohibit the foundation from representing or binding the college or adopting policies inconsistent with those of the college.

The college provides the ultimate control; not only do its trustees appoint the foundation directors, but sometimes they can even remove a director from office if he or she is supporting policies or activities not in the best interests of the college. Given the range of control mechanisms available to the college, there should be no concern that the foundation will conduct activities contrary to college objectives and priorities. Thus, it is even more critical that the operations be kept separate.

Foundation meetings must be well-documented with formal resolutions and records. Foundation funds allocated to the college should be formally accepted by the college and treated just like any external grant or gift.

When a community college decides to set up a foundation, one of the first decisions should be the allocation of staff resources. The success of a foundation is proportional to the staff resources allocated by the college. The foundation represents a revenue center, not an expenditure. Initially, it will require investment, but the dividends will accumulate quickly.

A foundation does not direct itself. It is a team effort. The executive director serves as the catalyst, and the college president must take a personal interest as a participating partner. The executive director may do much of the preparatory work in researching prospective donors, but often securing the gift requires the efforts of the president and a foundation director who is a community leader.

Foundations with a full-time executive director have been much more successful than those relying upon part-time leadership or the "borrowed" time of a development officer also responsible for other duties such as grant writing, alumni affairs, and public relations.

Friend and fund raising

There are many approaches to donor solicitation—phonathons, capital campaigns, annual giving campaigns, developmental campaigns such as an anniversary campaign, and a host of other variations on a theme. Some colleges have found that focusing on targets, goals, or projects through continuous and relatively quiet solicitation can be as effective, if not more so in some locales, as the more flamboyant publicly heralded campaigns.

Fund raising begins with friend raising. Prospective donors need to be introduced to the college and made to feel that they are a part of the campus and its mission. Campus events provide excellent opportunities to bring in potential contributors as part of the college's extended family. Including these prospects in already scheduled receptions for Founder's Day exercises, as guests at commencement with VIP reserved seating, as guests of the president at campus productions or other cultural events coupled with meeting the artists at a private reception—all provide excellent opportunities to tell the

college's story and to identify donor interests and attitudes. The subsequent request for assistance can then be tailored to match the college's needs with the prospective donor's identified interests.

Recognition of donors can be as important as their cultivation. The various methods of recognition demonstrate the college's appreciation, publicize the gift in the community, celebrate the donor's contributions (in either money or services or both) to the college and the community, and inspire others to give. Recognition can include plaques and tablets; named awards, scholarships, chairs, and fellowships listed in the college's catalog and publications; and named buildings, rooms, gardens, carillons, sculpture, lounges, and vestibules. The college can creatively recognize donors and at the same time aesthetically enhance the campus. Often offering the recognition helps secure the gift.

The college needs to develop guidelines to ensure uniformity and consistency between the level of giving and the level of recognition.

Foundation directors should be selected because of their position in the community, and the college should encourage them to include in their social network college officials, such as the president. Directors' personal and professional receptions and outings offer excellent opportunities to meet potential contributors. Foundation board members often serve as gate-keepers to the power elite in the community, and they should be encouraged to open a few doors.

Community service clubs raise substantial sums to benefit local citizens and causes. The college might host a service club's meeting at the institution for a presentation on the college and a campus tour. Know the club's pattern of giving, and suggest ways that it and the college can develop a partnership. Scholarship programs and other special interest projects can lead to significant results.

College staff can be significant resources for both fund and friend raising. Invite senior staff members with greater discretionary income to set the pace with leadership gifts that significantly increase the sum total of the many smaller gifts. The fact that loyal staff support the college financially is an impressive asset when you are soliciting community gifts.

Through their continuing contacts with alumni, faculty members can identify alumni who are financially successful; faculty can help organize fund-raising activities among specific target groups. The gym teacher might arrange a program to promote an annual golf or tennis classic; a data-processing instructor who plays the piano might give a recital on campus to raise money to endow a data-processing scholarship.

Check the *Foundation Directory* for the name of every charitable foundation within the college's service area and contiguous communities. Your goal should be to have the college included on the gift list of every one of these foundations. If the local foundation gives only for health purposes, designate the allied health programs. Demonstrate creatively how the comprehensive community college with its pluralism can match most donors' areas of interest. And as the

college is added to a foundation's list of fund recipients, seek to improve the college's position in the pecking order of giving.

At some charitable foundations, the executive director is the key player. At others, certain board members play a pivotal role in determining the distribution of donations. Again, the college's foundation board members should know their counterparts among the community's business and social leaders and provide the necessary introductions.

Banks administer trusts that donate considerable funds for charitable causes. Most trusts have a variety of restrictions as to who is eligible to receive gifts. Trust officers and bank executives enjoy a wide range of discretion in selecting donors. Relationships with bank officers can prove invaluable in accessing these trust accounts.

Although one of the richest veins to mine is deferred giving, the complexities are such that many resource development specialists shy away from starting a deferred giving program. While planned or deferred giving may be complicated, the potential for substantial contributions is virtually unlimited. Many donors do not have sufficient disposable income to make sizable gifts to the college. Often their assets are in personal and real property. Most can provide through a bequest what they could not offer during their lifetime.

Identifying these individuals takes time and effort. Deferred giving programs usually pay no immediate dividends, and most may take five or more years to realize results. The typical student constituencies of the community college may make deferred giving the most significant source of private income in the long run. Pooled income funds, life insurance beneficiary, gift annuities, unitrusts, life estate contracts, annuity trusts, and lead trusts represent the many types of planned giving.

Someone on the college's foundation staff should acquire the specialized training needed to master the concepts and planning process. You may also need an investment counselor and attorney to draw up the final documents and specifications. The Council for Advancement and Support of Education (CASE), as well as other organizations and individuals, offers excellent workshops in deferred/planned giving.

A gift committed to the foundation now may have significant financial and tax advantages for the donor even though the college must patiently await the full benefit.

Gifts to the foundation for college use can serve many purposes in human and physical resource development. The broader the gift possibilities, the greater the likelihood of a good match of donor and college interests. Special funds or accounts designate the myriad of purposes. Generally, a minimum amount is required for a separate fund to make its management cost-effective.

The endowment represents the pooled assets of all the funds with annual allocations to the funds of the endowment income for accounting purposes. The collective net worth of the various funds equals the net worth of the foundation endowment. The total assets are usually managed and invested as

a whole. Some deferred giving funds may be managed separately to comply with specific donor wishes or conditions.

The funds or accounts designating special purposes might include, among others, cultural events, educational assistance (staff and students), capital development (construction), equipment, named scholarships, named professorial chairs (as well as professorial scholars and fellowships), named student awards and prizes, named schools within the college, campus development (renovation, landscaping), and, of course, the unrestricted endowment fund.

One of the advantages of an endowment lies in managing the corpus growth and enabling it at least to keep pace with the annual rate of inflation. This permits the annual scholarship or other grant funded from the endowment to maintain its purchasing power. The endowment investments should yield a sufficient return to provide adequate current income and assure long-term growth.

Some foundation policies stipulate the ratio of the return on investment that will be kept to augment the principal and that which can be dispensed for the fund's purpose. For instance, either a set percentage (such as 5 percent with a 9 percent rate of return) of the principal or a set percentage (such as 75 percent) of the accumulated dividends and interest earnings of the return on investment is disbursed. It is best to avoid guaranteeing the donor a certain return rate that might not be feasible in the long run or promising the application of all earnings to annual grants.

Some individuals and institutions do not donate to endowments. In those instances, the college may be able to pay for the project with the gift but transfer a like amount of reserve (all at once or in installments over several years) to the foundation's endowment. The "gift" can then be restricted by the foundation so that all of its accumulated earnings go to repay the college for the transferred funds. This may not enhance the principal, but it does preserve the original for future growth.

In the long run, the project is accomplished because of the donor's gift, the foundation endowment is increased, and the college's transferred funds are replaced. The advantage is a permanent return on the invested capital that will continue to benefit the college for generations, without "using up" the gift.

A donor may pledge a substantive sum to be paid in installments over several years. The purpose of the gift, such as a building or piece of equipment, may require an immediate expenditure. Again the college might consider "front funding" to be repaid over time from the accumulated earnings of the gift as it is invested by the foundation. A $100,000 gift paid in five annual installments and invested by the foundation at 10 percent interest rates could repay the college for its original $100,000 up-front expenditure within 12 years. This assumes that the college doesn't recover its lost interest earnings. Not only is the $100,000 project completed and the original $100,000 still available, but the foundation continues to earn another $10,000 (as interest on its investment) for every year beyond the repayment period.

Conclusion

Attracting mega-gifts through the solicitation of the private sector by a prestigious, powerful board of corporate executives should not be the only impetus for creating, supporting, and nuturing a college foundation. The community college foundation serves as the primary vehicle for reaching out to the entire college community for support.

Many make the mistake of discounting the considerable financial contributions that can be accumulated over time through continuous and deferred giving by all of the friends of the college. The presence of large corporations and local foundations should compel a community college to organize itself effectively to access private support. On the other hand, the absence of the Fortune 500 should in no way discourage a college from soliciting individuals, institutions, and businesses for support.

References

Woodbury, K. "Fair Share of Funding Unmet Goal for Colleges." *Community and Junior College Journal*, March 1983, pp. 22-25, 28.

Marlene W. Camper

Marlene W. Camper is assistant dean for resource development at Florida Community College at Jacksonville (FCCJ), one of the 10 largest community colleges in the United States. Employed by FCCJ in 1969, Camper has been in the resource development area for nine years and has been the administrator responsible for the function the last three years. Camper has had 15 years of experience with volunteer and appointed boards, serving as campaign director for the Greater Jacksonville United Way in the early 1960s. For the past two years, she has represented FCCJ at the national level to establish networks that meet the training needs of industry. In this capacity, she has developed exportable continuing education and training programs for managerial and technical personnel.

Paul C. Trautmann

Paul C. Trautmann is a resource development officer at FCCJ. He joined the college in 1968 as an instructor in German and psychology. He has served the college as a director and department head and still teaches occasionally. His undergraduate degree in English and his M.A. in educational psychology are both from the University of Alabama.

L. Adina Wiesenfeld

L. Adina Wiesenfeld is a resource development officer at FCCJ. She is a past director of Allied Health Programs and the Department of Medical Laboratory Technology at FCCJ. She has an Ed.D. from Nova University in Fort Lauderdale, Florida, and is a member of the Registry of Medical Technologists (American Society of Clinical Pathologists). Wiesenfeld has chaired the Allied Health Common Course Numbering System for the State of Florida. She was editor in chief of the American Society of Clinical Pathologists' publication, *Tech Sample*, for 10 years.

The Resource Development Team at FCCJ, informally known as "Camper's Crusaders," brought in $5,225,089 through grants and contracts to the college during fiscal year 1988–89.

Chapter 18

Relations with the Corporate Sector

Marlene W. Camper
Assistant Dean for Resource Development
Florida Community College at Jacksonville

Paul C. Trautmann
Resource Development Officer
Florida Community College at Jacksonville

L. Adina Wiesenfeld
Resource Development Officer
Florida Community College at Jacksonville

This chapter explores the relationship of two-year colleges with the corporate sector. It suggests ways that these institutions can improve their level of service to this sector and thereby increase their fiscal resources. The authors examine some recent data on corporate philanthropy and question the message the corporate world's funding patterns send to two-year colleges.

Community college share of the corporate pie

In *Voluntary Support of Education, 1986-87*, the Council for Aid to Education (CFAE) found that corporations gave $1.8 billion to colleges and universities, 7 percent more than they gave the previous year. This follows six years of double-digit gains.

Fifty-three percent of the corporate awards went to private colleges and universities. This is a notable change from the previous year, when America's corporations gave more money to public institutions than to private ones. There was virtually no change in total dollars going to the public institutions, yet corporate awards to four-year private colleges and universities grew by 15 percent.

Thirteen percent of the nation's approximately 1,200 two-year colleges participated in the CFAE survey. This 13 percent received only 1 percent of the total $1.8 billion of corporate contributions. What can community colleges do to improve their percentage of corporate dollars?

A survey undertaken in 1988 by the Council on Foundations found little or no prospect for a major increase in corporate giving in the near future. Council President James A. Joseph said the survey indicated that "giving will at least remain the same" and that "despite some bumpy paths ahead in the near future, the long-term outlook can reflect a sustained commitment to viable community leadership and corporate giving."

Seven of 10 corporate chief executives polled in the Council's survey endorse the concept of "enlightened self-interest to guide their giving programs." They agree that a company must determine what benefits it derives from any cause it supports. Company chiefs say they worry about the economy's vitality and whether donations are linked to corporations' gains.

As the two-year colleges responding to the CFAE survey received only 1 percent of the $1.8 billion corporate contribution, and as corporate chiefs cite self-interest as an important factor in their giving, it is incumbent upon two-year colleges to demonstrate clearly their ability to further the interest of the corporation.

Consider the following questions

- Does giving to community colleges suffer because these colleges have failed to define goals precisely and relate these goals to corporate goals?
- What message does the two-year college send to the corporate sector about the college's mission, success, and needs?
- What message from the two-year college would reassure the corporate sector about its ability and willingness to promote corporate interests?

Coming closer to home, apply these questions to your own institution:

- How does my college involve the corporate sector in college planning? Does my institution ask corporate executives to serve on boards, councils, and committees?
- What is my college doing to document corporate and community needs and to plan programming accordingly?
- What degree of flexibility has my college built into its strategic plan?

- What is my college doing to document its services to corporations and their employees, and how is this information shared with corporate chief executives?
- What kind of partnerships and bridges has my college formed with the corporate sector?
- And finally, is my college seen as an integral, important member of the community?

The spirit of community and the community college

Successful pursuit of corporate support requires community colleges to vigorously affirm their partnership with community institutions, agencies, and industries. Two-year colleges must declare with pride their record in serving social and economic interests in their communities.

The interactions of college faculty, staff, and administrators, acting either as private citizens or as college employees, with community agencies and business profoundly affect the way the community views the college. Its integration into the corporate world is either promoted or diminished by the relationships its faculty and staff establish as they work with various segments of the community. Because of the nature and extent of its mission, the community college's corporate relations reach beyond the limits of industry and business to the charitable agencies.

A major clue to successful relations with the corporate sector lies in the spirit of community the college fosters through the alliances it builds with industry, business, social organizations, and professional agencies. The sense of wholeness and belonging that the college engenders in the community network will assign the college its own unique place in the corporate world.

The college cannot be separated from its parts—faculty, students, staff, and administrators. The activities and community interactions of college personnel provide the community with new visions and directions that bridge the gap between the academic and corporate communities.

Defining the corporate sector

Paramount to success in enlisting corporate support is that community colleges define the avenues whereby they gain entrance to the corporate sector. The community college/corporate network that the college develops will include cultural organizations, such as symphony associations; museums of art, science, and history; local historical and preservation societies; the environmental protectionists; and societies and clubs dedicated to special interests, such as the Audubon Society, the Sierra Club, local and state garden clubs, and Lions and Rotary Clubs. The public school system and other community educational

institutions (although some may be nonprofit) are the college's gateway to the corporate world through the interactions between college personnel and personnel at community agencies.

A rich source of community college contacts lies in charitable organizations. Their fund drives and other endeavors offer colleges a pipeline through which their personnel can send a message of service and involvement to the entire corporate sector. Faculty members have the opportunity to close the distance separating academia and private enterprise by participating at every level in charitable community undertakings. Individuals sharing the same purpose develop a spirit of camaraderie. These good feelings promote a sense of responsibility for the college's welfare among those shaping community social policy.

Two-year colleges need to seek creative activities and strategies that extend the college's services to the corporate sector. The community college has the resources to meet the corporate sector's educational, training, and retraining needs. These educational services connect the college to the corporation through activities that promote the welfare of the corporation and its employees.

It is essential that the college communicate its belief that the mission of the corporate world is part and parcel of its own mission. Having established itself as part of the "warp and woof" of the community network, the two-year college must then define clearly its own goals and expectations as they relate to corporations. Once defined, the college must make the larger community aware of those goals. To do this, the community college must work with corporate management to form linkages that will lead corporations to think "community college" when training and retraining needs become evident.

Public sectors

Every two-year college must educate the various sectors of its public to view the institution as ready to respond to changes in the community. These sectors include:

- the media;
- corporate directors;
- mid-managers;
- industrial supervisors;
- hospital administrators;
- health-care delivery systems;
- leaders of public and private K through 12 institutions;
- labor leaders; and
- clergy and civic leaders.

Changing educational needs

Community colleges may meet this obligation to assist corporations to update their workforce in a variety of ways. Strategically located, the community college is the ideal and most cost-effective site for a wide spectrum of programs—special workshops, seminars, and continuing education classes or institutes. These events bring the movers and shakers back to the community college class om. The small auditoriums present on the majority of campuses are ideal for corporate seminars.

Adult enrichment classes enable the college to reach special-interest groups able to influence corporations in ways that the college cannot do alone. When the college gives intellectual and cultural support to the members of a group within the community, those people will cherish the college's educational tradition as a reflection of the community's strength. The hallmark of the community college then becomes good teaching coupled with a sense of community service.

One of the college's goals should be to give the corporate community opportunities to use its considerable talents to add to college resources. In turn, the college can increase its service to the community. College relationships in the community are, at the very least, a two-way partnership and frequently multifaceted. Many college programs cannot operate without the support and good will of the community's institutions and corporations. Advisory committees become clearinghouses where information, ideas, plans, and finally visions are exchanged. The challenge for the community college is to tap into this resource in ways that link the college to community purposes through nontraditional and traditional education. This partnership lets the corporation and college do what each does best.

The role of advisory committees

Advisory committees not only identify the competencies expected of graduates of the college's programs, but, frequently, contribute their facilities and/or personnel to the college, particularly in the health, technical, and vocational fields. The college needs to pay special attention to showing its appreciation for these services. Acknowledging the partnership that exists between the college and the corporation—whether a hospital, museum, service industry, community club, business, or industry—invites the agencies to look for additional ways the college may serve their needs.

When the college forges an alliance with community corporations for the purpose of integrating its programs into the corporate mission, the college not only demonstrates its larger educational vision, but also elicits corporate support. This support may come in the guise of grants to the college's foundation, purchases or loans of equipment, and/or loans of industry or professional

personnel to teach special classes. Faculty and corporate exchange programs enrich both sectors. These mechanisms meet the need of both the corporation and the college to respond to a changing world. Advisory committees are the sine qua non that sparks these interchanges.

When an industry's technology changes, workers' skills become obsolete. The two-year college can design and offer a customized training program that enables workers to upgrade skills and stay employed in the industry. This has the dual thrusts of saving the corporation money and preserving workers' jobs.

An educational role for corporations

It is to the advantage of community colleges to involve the corporate world in teaching activities. This enhances and enriches standard curricula. It assures quality control of the courses the college has customized to meet industrial requirements. The college-industry partnership serves the best interests of students and industry. What better way to introduce students to the "real world" than through their teachers?

Although corporations have the resources to fund eminent scholar faculty chairs, the college must not lose sight of the fact that both the college and the corporation must be guided by the bottom line: "What's in it for me?" Once a chair is endowed, the college and the chair's funding corporation must agree on the activities the chair will undertake.

When a corporation funds an eminent scholar faculty chair in its name or that of its founder, the quality of the scholar and the functions that the chair performs have the possibility of long-term benefit to both the corporation and the college. While honor and distinction to the corporation are not usually in themselves the bottom line, the influence accruing to the chair's activities may be seen by corporate eyes as being of equal importance to the chair's accomplishments.

In seeking resources from the corporate entity, the college must have a marketing plan that highlights what the college can do for the corporation. The plan should be equally clear about what the college expects from the corporation.

A clearinghouse to serve corporate needs

With access to electronic networks available to both corporations and colleges, the college can develop a clearinghouse to collect and analyze data for corporations. An ability to perform research will keep the college constantly in the forefront of community planners. It will increase exchange between educators and corporate personnel at all levels. Corporations, faced with constantly

changing demographics and technical advances over which they can exert little control, must respond quickly to change. Such a community college clearinghouse will meet this need and cause corporations to view the college as their ally in solving the problems that change brings.

As part of the process of dealing with change, the community college becomes a true partner of the corporation. It can use that partnership to elicit funds to cover start-up costs of new technical programs that serve industries' needs for trained workers and allow the college to expand its offerings.

A faculty research center

Essential to successful implementation of a clearinghouse is the concurrent development of a faculty research center at the college. The major goal of this center is to provide the local community with the information it requires for policy and situational decisions. As the center becomes involved with industry and government within the larger community, its importance to the college will grow. It provides community college faculty an appropriate arena for a variety of research interests. It offers students opportunities to become better acquainted with the community in which they live and to make lasting contributions to its progress. The data that research generates enable the college to become part of the policy-making process of the community.

The faculty research center will document services delivered to corporations and their employees. Local institutions, both government and corporate, may not have the resources to assess the extent of the problems change brings. Faculty research that addresses these problems is an effective way to catch the eye of corporate chief executives.

A faculty research center becomes highly visible in the community and informally markets the college. Once faculty have completed a successful research project for a corporation, it is natural to expect that other corporate entities will fund the faculty research center. When the research serves corporate interests, it has the potential to become a sought-after tool for planning and managing change.

This partnership unites the academic and corporate worlds in ways that make the college an increasingly productive member of the community. As the use of the center expands and additional corporations participate, the influence of the college will also expand. Additional sources of funding will develop.

As the activities associated with the clearinghouse and the faculty research center extend the college's influence in the community, the college will be seen as a vital participant in the planning process. When the corporate world shares the college's vision, corporations no longer think of the college as apart but as a part. In this atmosphere, funding for college projects is more likely to

be forthcoming. The benefit to faculty is not only an opportunity to do research but to gain professionally.

The community college and the Armed Forces

For community colleges located near a military base, the corporate community includes the military. When the military installation and the community college cooperate in meeting military training needs, military personnel become a part of the community through the educational process. The Montgomery GI Bill, 1985, entitles soldiers serving in the Military Reserve and the National Guard to enroll in college courses to acquire new skills, advance to a higher level in their military or civilian occupation, and/or earn credits towards a degree.

The Navy Reserve Allied Medical Programs (RAMP), for example, include 13 medical programs taught as part of the regular college curriculum. These courses qualify graduates for an allied health or nursing specialty and also fulfill military specialty requirements. Reserve and active duty personnel can train at home and qualify for both a military specialty and state licensure in a civilian occupation.

Frequently this alliance with the military gives the college training sites that greatly enhance its curricula. For example, when a hospital on a military base offers clinical experience to the college's students, both civilian and military, the college gains access to superior equipment and facilities. This in-kind contribution by the military hospital enhances the college's educational services.

Municipal governments

Municipal governments and community colleges give corporations an opportunity for an alliance where altruism and business can mix. Municipal governments are invariably heavily involved in economic development efforts, and the attraction of businesses to the area is a major concern. Both businesses considering a change of location and those already established in the area consider the availability of quality educational services to be a high priority.

Developing institutes

When the community college works closely with the municipal government's fund-raising arm and economic development office, it will discover opportunities to work with corporate executives and managers as well. It will be able

to participate with the local Chamber of Commerce as part of the partnership between city government and the business community. In this spirit of unity of purpose, the college will gradually be recognized as an integral part of the community's business-related councils.

Through this involvement with corporate executives, college personnel can learn what institutes to develop that will appeal to the corporate sector. In developing appropriate institutes, the college becomes the liaison between the corporate sector and the college's foundation. The college's foundation is usually involved in the establishment of an institute for private enterprise, and this invites donations to the foundation. These economic development activities create a sense of wholeness or community that the college could not achieve without corporate help.

Of the educational institutions serving the community, the two-year college has unique opportunities to attract support for its foundation. The two-year college provides industry with many of its workers; it provides the professions with technical personnel; and it provides business with trained workers, supervisors, and mid-level managers. Critical to attracting corporate dollars to its foundation is the college's ability to market its programs to corporations. The community college must seize every opportunity to publicize the contributions it makes to the corporate sector.

The media

Not to be overlooked is the college's relationship with the local media. Does the college offer writing or journalism courses? If so, has the journalism department established a good rapport with the local newspaper? If the college offers courses in television production or uses video technology in teaching, have the local television stations been asked to lend their professional expertise? Does the college have an institutional advancement or information officer who keeps the media informed of what the college does for the community?

The college that keeps a low profile may be doing wonderful things in the community, but if the media don't tell the story, the college will find it difficult to establish strong linkages with other sectors in its service area.

The entrepreneurial arm of the college

Depending on its size and location, the college may consider establishing a department devoted to economic development. This department would develop, market, and deliver training to local business, industry, and governmental agencies. Some colleges establish such an office as an entrepreneurial enterprise; salaries and level of support (size of staff, computer support, number of

phones, and so on) are commensurate with the size of the enrollment generated.

An operation of this kind is best headed by an assertive, energetic, can-do individual with experience in the business world as well as the two-year college. Within the administrative structure of the college, he or she should be placed high enough to be able to make decisions that mobilize training activities as efficiently as possible. This individual's title (dean, associate vice president) should indicate to the nonacademic community that they can expect decisions and commitments to be made and kept quickly.

Under ideal conditions (and if regulations permit), the college should be able to charge slightly higher fees for training activities at the employer's site or for classes specifically set up for a group of employees on campus than for training or classes for the general public. The department can use the extra dollars generated to supplement its regular budget for additional computer support, consultant fees, travel, and so on.

The leader of the economic development department must develop an excellent working relationship with the head of the college's foundation. Perhaps no two operating units at the college will be more complementary than economic development and the foundation. The director of the college foundation will find it easier and more profitable to approach a corporate officer for a grant or donation when the corporation has already been well served by the college. Perhaps college programs have provided training to corporate employees who can now perform new tasks or perform traditional tasks more proficiently. College programs may have reduced employee turnover and improved efficiency. If so, that corporation has already "bought into" the community college concept and knows the benefits of having such a college in the community. In this case, the corporation will be likely to lend a sympathetic ear to the college foundation's request for support.

When this happens, it shows that the college's marketing plan has succeeded in keeping the various sectors of the community advised of the college's activities. It's vitally important that the two-year college take a strong stance on advertising its contributions to the community. The college's vision for tomorrow must be compatible with its community's needs to assure it of a place in the community. The marketing plan should take a futuristic approach that reflects the community's economic development plan. That will bring the college's foundation and its board of trustees into the community's development activities. This will require commitment and cooperation from the foundation. Such a partnership will not happen easily. The marketing plan will require constant oversight and revision. As corporate and community visions change, so, too, must the community college.

Insofar as is consistent with its mission, the college must reflect changing demographics and economic development. It should use every means available to inform the corporate sector of its ability to respond to change. Corporate support of the college's foundation enhances the college's participation in

community affairs and enables it to meet corporate needs. It is good for the corporate entity and for the larger community.

Conclusion

Although the private marketplace consists of 2.3 million corporations and 24,859 foundations, estimates are that only approximately 800,000 of these are potential private grantors. In 1986, foundations, individuals, and nongovernmental agencies awarded $10 billion in grants. Obtaining grants from the private market differs from and is more complex than seeking grants from government agencies. Each foundation has goals and objectives unique to itself.

Because corporations often have no clear-cut guidelines or formal application procedures, corporate grant seeking always involves personal contact, businesslike proposals, negotiation with corporate decision makers, and submission of a project that shows the grant will return benefits to the corporation.

If, indeed, your community college has an image as the college of the community, your potential for eliciting corporate funds will be all the better. An atmosphere of trust based on favorable past experiences greatly facilitates the grant process. Only the community college knows the extent of its services to the community. It is the college's responsibility to broadcast this information to the corporate world and the larger world beyond.

If two-year colleges are to have a piece of the corporate pie, they must add to its ingredients, help stir the contents, and sometimes even provide the oven.

Richard J. Pokrass

Richard J. Pokrass is director of college relations and publications at Burlington County College in Pemberton, New Jersey, a suburb of Philadelphia. He is a frequent lecturer at local, regional, and national workshops on topics related to alumni relations and marketing and has been a contributor to CASE CURRENTS on institutional advancement topics. He is also a contributing author to the *Handbook of Institutional Advancement*, 2nd edition.

Pokrass is active in many community and professional organizations, has served on numerous CASE district and national committees, and was program chair of the 1986 CASE District II conference in Baltimore.

Chapter 19

Alumni Programs

Richard J. Pokrass
Director of College Relations and Publications
Burlington County College

A solid alumni relations program is the cornerstone of institutional advancement efforts at most four-year colleges and universities throughout the United States. Alumni serve as a valuable resource in fund raising, voluntarism, student recruitment, and job placement.

Yet until recently little emphasis has been placed on alumni relations at two-year colleges, especially public community colleges. The reasons have been twofold. First, because of the relative youth of the community colleges—most are now in only their third or fourth decade of operation—administrators and faculty often felt their alumni were not well enough established in their careers or placed high enough in the political system to be of benefit to the institution. A second, closely related factor is the failure on the part of two-year colleges to understand all that a sound alumni program can accomplish for an institution.

In the past decade, as increasing numbers of two-year colleges have established or begun to examine the potential benefits of alumni associations, many have done so with only one thought—money. They have seen colleges and universities raise hundreds of thousands, perhaps millions, of dollars from alumni and other donors to endow faculty chairs, fund new facilities, and make ordinary programs into truly superb ones. Or they have witnessed the apparently sudden fund-raising success of a nearby two-year college, unaware of that college's concerted long-term efforts to cultivate alumni.

All too frequently, the desire to pursue such "instant" riches overwhelms the concept of mutual benefits that should be the basis of the alumni relations program—the institution provides something of tangible value to the alumni that will make them want to support their alma mater.

An effective two-year college alumni program should begin with several important considerations. First, why does the institution need an alumni program and what will its goals and objectives be?

A successful two-year college alumni program, especially in its early years, should concentrate on friend raising, not fund raising. Financial contributions will come eventually as the result of other actions designed to nurture alumni. Among the more common friend-raising activities for alumni are free job placement services and use of college facilities, discounts to campus events, newsletters and magazines that highlight college happenings and alumni activities, and recognition programs for distinguished graduates. None of these activities need be costly to the institution, yet all can be of immense value and interest to alumni. The job placement services and free use of facilities can be especially valuable to young alumni with limited financial resources.

The effective alumni organization

It is equally important to make alumni feel that they are still an important part of the college. A vital step is to establish an alumni association. Alumni can serve as officers or committee members, working directly with college staff and providing important input to the institution's future success.

A formal organization is the centerpiece of a successful two-year college alumni program, especially if the organization enjoys some semblance of independence from the college's main administrative structure. Many alumni feel that they are in an excellent position to advise the college staff on key issues; they also want to have some say in the destiny of their association. Thus many two-year college alumni groups, with the support of their college, have pursued incorporation. Incorporation provides the alumni group with a formal structure, greater credibility in the eyes of some alumni, and, in many cases, protection against lawsuits aimed at individual officers.

Whether or not an alumni program is officially incorporated, the basics are the same. The program needs focused goals and objectives, effective volunteers, reliable avenues of communication with the host college, and a source of operating funds.

Developing goals and objectives is perhaps the easiest step in creating an alumni relations program, while the recruitment and motivation of effective volunteers can be the most difficult.

The alumni association's goals and objectives must always be consistent with those of the host institution. Inconsistencies in goals can create an antagonistic relationship between influential alumni and college staff and trustees in which each group spends its time opposing the others.

Determining the structure of the alumni program is important. Many two-year college alumni programs are highly centralized with a strong general

alumni association and perhaps a few specialized clubs within the association. Others have opted for the reverse—numerous specialized alumni clubs with a deliberately weak central alumni governing body or perhaps no general alumni association at all. Although alumni clubs at major universities are often organized on a regional basis or according to colleges within the university, two-year college alumni clubs are typically established along the lines of academic majors (engineering, allied health, communications) or specific interests (athletics, student honors group, and so on). Each college must select the model that is best for its situation.

College/alumni relationships

Closely related to the alumni program's structure (and again a decision that can only be made on the basis of each college's needs) is the relationship of the alumni organization to the institution: Which administrative department, if any, will be responsible for coordinating alumni relations and providing the staff support for the alumni association?

As most two-year colleges have not traditionally assigned significant resources to alumni programming, only a small fraction have full-time alumni officers. Alumni programming is usually only an appendage to a department that has many other duties. Some colleges, viewing alumni primarily as a source of revenue, assign alumni responsibilities to the development staff. This is probably the dominant model.

The next most common model is to attach alumni relations to public information/college relations. Colleges pursue this avenue to emphasize, at least initially, two-way communication between alumni and the college. The PR office is best equipped to keep alumni abreast of ongoing college activities, seek alumni input on key issues, and even utilize alumni success stories in advertising and promotional activities.

Four-year colleges and universities frequently use articulate alumni in the admissions recruitment process. Using alumni recruiters, especially in areas far away from the main campus, saves the college significant expense by eliminating costly and time-consuming travel by members of the admissions staff. In addition, prospective students often perceive alumni recruiters as more credible than paid staff, because they "tell it like it is." For these reasons, a few two-year colleges place administrative control of alumni programming in the admissions office.

Other relatively new two-year college alumni associations, which seek to cultivate alumni now and ask for money later, see job placement as the most important component of their present alumni program and place the alumni relations function within the career development/job placement department. Some institutions view alumni relations as an extension of student activities

and assign both student and alumni programming to one department. Others identify graduate follow-up as their most important need and place alumni relations within the control of the campus research office.

Whatever the campus structure for alumni programming, it should be one that works for the college and meets the needs of its alumni.

Assuring volunteer success

Perhaps the most important component of alumni relations at any college or university is the people in the program—alumni volunteers, paid staff, and currently enrolled students.

Volunteers can make or break an alumni program, and it takes a great deal of time and effort to recruit the proper people, place them in appropriate assignments, train and motivate them, and evaluate their performance. Unfortunately, this key area of alumni voluntarism is frequently the most neglected, and many alumni officers share horror stories of problems they have experienced because they did not spend the necessary time working on volunteer development.

Whether the college establishes a new alumni program, rebuilds an old one, or maintains an existing program at its same level, spending enough time to recruit the right people is a top priority. But first the college must understand what it wants the alumni program to accomplish; different goals may require volunteers with different skills.

The logical starting point is a careful analysis of the roles to be filled by volunteers. Will they be making decisions and developing alumni or college policy; raising funds; seeking jobs for fellow alumni; lobbying on behalf of the college at the local, county, state, or national level; serving as role models for current students; planning special events; or advising the college on development of academic programs? Each of these activities can require vastly different skills, work experience, educational background, volunteer training, time commitments, and personalities.

And what, precisely, will the volunteers do within each role? If they are raising funds, for example, will they staff telephones during a phonathon or meet face-to-face with corporate executives? Write letters or address civic organizations? Each assignment requires different abilities.

The alumni officer must know how many volunteers are needed and when, which potential volunteers are loyal alumni who truly want to help their alma mater, and which have leadership potential. Volunteers should represent all of the college's constituencies. The alumni officer should look for volunteers who can converse easily with others, possess listening skills, and are willing to be part of a team effort.

Most of these skills and personal qualities can be identified only through an interview and personal observation. The best volunteer programs have leaders

who spend the time to seek strong prospects, conduct personal interviews, and learn firsthand whether the prospects are right for their organization. Once recruited, the new volunteers should receive a comprehensive orientation, responsible and suitable assignments, and opportunities for growth and development. Individual preferences, work and life experiences, and educational preparation must be considered. Throughout the volunteer assignment, the organization must offer challenging work, concise meetings, and recognition for achievement.

Solving volunteer-related problems

Even when the right recruiting steps are followed, there may still be problem areas when a volunteer is assigned to the wrong job, or when the alumni office provides weak or poor management. The result may be incomplete projects, unproductive meetings, weak fund-raising efforts, and poor communication between staff and volunteers.

If the alumni office is at fault, it should correct the problem quickly before volunteers lose their enthusiasm and motivation. If the problem is with a volunteer, the office should work with other senior volunteers to assure that the individual is treated sympathetically and does not leave the assignment with negative feelings toward the college or alumni group. If a volunteer must be removed from an assignment, the alumni office should reassign him or her to another project if possible. Should dismissal be the only option, it may be more diplomatic for a prominent alumni leader, rather than a paid staff member, to "fire" the volunteer.

Limiting every volunteer assignment to a few months or a year may help forestall problems. The alumni organization can then gracefully "retire" the unproductive volunteer by not reappointing him or her. Short-term assignments allow volunteers to prove their worth with minimal risk to the alumni program.

During this initial short-term assignment, the volunteer might assist on an alumni project, prove his or her ability to achieve an objective, and eventually work up to a higher level assignment such as chairing a committee. This procedure is similar to the farm systems of major league baseball teams, in which young players work their way up through several levels of minor leagues before battling for a spot on the major league roster. This system guarantees that the major league team (the governing body of the alumni association) will have the best talent.

Foundation for effectiveness

While effective volunteers will go a long way toward ensuring the success of an alumni program, staff support and a variety of resources are essential.

The paid staff in the alumni office—or whatever office is responsible for alumni relations—must provide the necessary back-up for the alumni association. Depending on the scope of the alumni program, this support might be as simple as handling correspondence or as complex as developing alumni publications, coordinating fund-raising efforts, processing pledges, scheduling meetings, and much more. The job placement department might be called upon to provide additional assistance for alumni, or the computer center might be asked to write a program for alumni records. Too often, community colleges in the early stages of developing alumni programs do not provide this support, and alumni volunteers quickly become frustrated and alienated.

Once a luxury for two-year college alumni groups, the computer is now essential. Whereas a decade ago the only alternative to a manual system of alumni record-keeping was to use the college mainframe and computer staff, low-cost microcomputers and a wide range of affordable software now bring computerized records within the reach of most alumni associations. Computerized records can produce instant details on alumni interests and vocations, financial situations, and current mailing addresses for use in a variety of communication activities.

The key to having and keeping effective volunteers in your alumni program is communication. In the past decade, the number of nonprofit volunteer organizations throughout the United States has increased dramatically as a result of federal emphasis on private sector initiatives in the public arena. Within each community, we see more crisis intervention networks, programs for the homeless, youth service organizations, and activities by such organizations as United Way, American Cancer Society, American Red Cross, March of Dimes, and others. Environmental concerns have resulted in the establishment of volunteer organizations that concentrate on such issues as toxic waste, ocean dumping, and air quality. These organizations, composed of people who are working to improve the quality of life, are also competing with college alumni associations for volunteers and funds.

Traditionally, two-year college alumni associations have considered their only competition to be the four-year colleges and universities at which so many of our graduates have continued their education. But every graduate is subject to appeals from numerous community-based and issue-specific organizations.

Competition for talent is fierce, but getting and keeping effective alumni volunteer leadership depends on how well the institution organizes and works with people. If a college communicates regularly with its alumni, treats them with respect, and provides the necessary encouragement and support when they become involved, the institution's alumni association is assured of loyal volunteers whose priority for service remains with their alma mater.

References

Bryant, Peter S., and Jane A. Johnson, eds. *Advancing the Two-Year College.* New Directions for Institutional Advancement No. 15. Washington, DC: Jossey-Bass and Council for Advancement and Support of Education, 1982.

Naylor, Harriet H. *Volunteers Today: Finding, Training and Working With Them.* New York: Dryden Associates, 1973.

Rowland, A. Westley, ed. *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986.

Wilson, Marlene. *The Effective Management of Volunteer Programs.* Boulder, CO: Volunteer Management Associates, 1979.

Martha J. Kanagy

Martha J. Kanagy is college advancement officer and associate executive director of the SRCC Educational Foundation at New River Community College in Dublin, Virginia. Her responsibilities include the full range of private sector external and internal fund-raising activities, from major campaigns to individual solicitation and proposals. In addition, she has staff responsibility for foundation management and supervision of the foundation's scholarship program, and sponsors both the college's alumni and student alumni organizations.

Kanagy is a former employee of Edison Community College and the Florida Association of Community Colleges.

Chapter 20

Donor Research and Records

Martha J. Kanagy
College Advancement Officer and Associate Executive Director
NRCC Educational Foundation
New River Community College

Let us suppose that your community college, which established an advancement program within the last 10 years, has charged you with the responsibility of implementing a research and records capability. Your inquiries to neighboring community colleges reveal no working models to study, but there is a large and venerable university nearby. You decide to visit that institution and study its research and records operation.

Your first reaction might be surprise at the size of the university's staff and facilities. The personnel structure includes a vice chancellor and assistant vice chancellor for development, an annual fund director and a staff of solicitors, and directors of planned and deferred giving and of wills and trusts. Each college and school has its own development officer. There are writers, coordinators, secretaries, and clerks. You begin to understand the high priority that this institution gives to its development operation.

The university also recognizes that the development research and records function undergirds, indeed makes possible, an effective and successful advancement program. The university's investment in personnel, facilities, equipment, and research and records materials reflects this recognition. The depth of institutional commitment is almost immediately apparent to you when you enter the development services area, where prospect research is accomplished.

You discover that this department is staffed by an executive director, an associate director for individual research, and another for corporate and foundation relations. There are six full-time researchers, a pledge coordinator, a gift records staff, secretaries, and file specialists.

The research complex has multiple rows of open shelving, which house some 50,000 folders for individual, corporate, and foundation prospects and donors. Each folder contains profiles, gift information, correspondence, clippings, and written reports of all cultivation of and contact with the subject. The folder also contains information gleaned by researchers concerning the prospect's income, securities, and other holdings; capability for giving; and philanthropic preferences.

This area also contains an impressive research library, shelving such references as *Standard & Poor's, Dun & Bradstreet, People in Philanthropy, Foundation Directory, Million Dollar Directory, Martindale-Hubbell, Directory of Medical Specialists, Who's Who,* and *Who Was Who,* to name just a few. Each researcher is responsible for perusing certain periodicals and newspapers. There are microfiche readers and files, computer terminals and printers. Researchers access up to 20 screens of information on each individual, corporate, or foundation donor.

You are duly impressed and quickly become convinced that the benefits of such extensive development service operations are confirmed by the hundreds of millions of dollars raised by large institutions wise enough to make the necessary commitment.

You return to your community college imbued with enthusiasm and determined that an effective, up-to-date research and records capability must be designed and implemented as a major component of the institution's total development effort. As you assess the limitations of budget and staff, however, your enthusiasm is tempered by reality. You haven't the people, the funds, the time, the physical space, or the equipment to mount a full-blown development services effort. And you are tempted to give up the idea or at least postpone it.

You are not alone. Except for some of our largest institutions, community college advancement operations are small shops. Many colleges have one development officer with perhaps one full-time staff assistant or secretary. Few can afford (or are willing to afford) the services of even one full-time researcher.

The typical community college development officer is expected to be a generalist. His or her duties can include primary responsibility for foundation management: campaign planning; personal solicitation; donor recognition; alumni and student alumni activity; preparation of proposals, annual reports, and fund-raising literature; and more. Prospect research demands the tenacity of a detective and the patience of a saint. It is painstaking, laborious, often monotonous work. It is extremely time-consuming, and time is in very short supply for the small shop development professional.

Small wonder, then, that so many of our community colleges do not have a well-developed research and records capability.

Small wonder, also, that we're not raising the money we could be raising. It has been estimated that effective research and the ensuing cultivation constitute 90 percent of the successful major gift solicitation. It is the foundation upon which the whole fund-raising structure should be constructed; and without it, opportunities to discover and cultivate new prospects and broaden the donor base are limited.

These are the key steps in the fund-raising process:

1. Identify.
2. Illumine (research).
3. Screen (strategize).
4. Cultivate (develop institutional awareness, familiarity, appreciation, involvement).
5. Rate (estimate giving capability).
6. Solicit.
7. Report (give the outcome).
8. React (acknowledge, evaluate).

It is difficult at best to illumine, screen, cultivate, or rate a major gift prospect without appropriate research. Yet we do it all the time. We often leap from identification to solicitation, armed only with what we think we know, or what someone else thinks he or she knows about what the prospect might or might not be willing and able to do for us. Too often, we miss out on a major gift because we don't know we are dealing with a major gift prospect. Too often, the wrong volunteer is matched to the prospect. Too often, the prospect's philanthropic interests are not known and matched to institutional needs. And far too often, we miss the opportunity to obtain a gift because an influential and affluent member of the prospect's family is unknown or overlooked.

If the first rule of personal development is "Know thyself," the first rule of resource development is surely, "Know thy prospect." And knowing your prospect because you have researched your prospect can result in a successful solicitation: when the right person asks the right prospect for the right amount in support of the right purpose at the right time.

Remember that the primary purpose of development research is to reveal or *illumine* the prospect, that is, to identify the prospect's philanthropic interests, relationship with and attitude toward the institution, and giving history and capability. The research process, by identifying church, civic, familial, professional, and educational affiliations, helps "match" the prospect to the most appropriate intermediary for cultivation and solicitation.

Information sources for research

The following lists of standard references and other sources of information are grouped for individual, corporate, and foundation research. The annotated

list at the end of this chapter gives addresses and the latest available prices. (Prices change frequently so contact the publishers before you order any of these references.)

While there is considerable overlapping and sources may appear on all three lists, the cost of buying all of them would likely be prohibitive. Your college library probably has many of the reference volumes; and you might opt to begin by stocking reference shelves with materials not available in the library. It is important, however, that those reference volumes that are consulted frequently become part of the permanent development office collection as soon as possible. These materials should be immediately accessible to researchers.

As you consider how much you want to invest in your research library, remember that the expenses are continuing ones. You must update standard references periodically and renew subscriptions. Your annual budget should include a category for this purpose.

Sources for research on individuals

Conducting in-depth financial research on an individual is often more time-consuming than researching corporations or foundations; you would usually do it only for those prospects considered to be potential contributors in the leadership ($100,000 plus) or major ($10,000 plus) range. Consult local and institutional constituencies and other sources before initiating complex financial inquiries. Remember that in-house sources, properly maintained records, and volunteers are essential to good research.

These are some of the sources for information on individual prospects:

- Annual reports (see "Sources for corporate research" below).
- Chamber of commerce listings. These require considerable winnowing but provide good orientation about business organizations in your area.
- Club and cultural organization rosters. Ask board members, staff, volunteers, and friends who are members of these organizations to provide this information. A good tool for matching solicitor and prospect.
- *Directory of Medical Specialists.* Biographical information about physicians.
- Disclosure, Inc. (see "Sources for corporate research").
- *Dun & Bradstreet Reference Book of Corporate Management.* Organized by corporate name/individual name sequence.
- Historical societies. Check directories, chambers of commerce, and the public library for information about area historical societies. Examine literature. Can be an excellent information source.
- *Martindale-Hubbell Law Directory.* Concise biographical information on lawyers. State/city/lawyer listing in first section; separate section lists firms.
- Proxies. Proxy statements (for publicly held corporations). Order from U.S. Securities and Exchange Commission. Lists directors' and officers' sharehold-

ings, salaries, deferred compensation, and retirement benefits. *Official Summary of Security Transactions and Holdings* (from the Government Printing Office) updates shareholdings.

- Social directories (blue books). By state, area, or city.
- *Standard & Poor's Register of Corporations, Directors and Executives* (see "Sources for corporate research").
- *Who's Who in America.* Detailed biographies of prominent personalities in American life. Volumes available by region (East, West, and so on). *Who Was Who* includes biographical information about prominent persons of the past.
- Periodicals: *Business Week, Forbes/Magazine of Business and Finance, Fortune Directory, Time, Town and Country.*
- Newspapers: *Wall Street Journal,* local dailies. Be sure to clip pertinent items for donor/prospect files.
- Other source material for researching individuals includes: alumni membership rosters; city and telephone directories; court records (wills, estates distribution, probate records); donor lists of charitable organizations; parents of former and current students (obtain names from your admissions officer); real estate information (plat books, tax stamps for transfer of properties, recorded deeds, tax assessment records); referrals (by board members, college employees, volunteers, and other friends of the institution).

Sources for corporate research

Be sure to track your college's training and retraining programs for corporations and employees. Chart and regularly update this information for use in cultivating and soliciting firms that have a training relationship with your institution. Use the sources below to investigate corporate prospects.

- Annual reports. Write to parent corporations to request annual reports. Ask that your office be placed on a permanent mailing list to receive annual reports.
- Chamber of commerce publications.
- *CFAE Casebook.* Council for Aid to Education. Lists educational assistance programs, allocations, budgets, and administrators.
- *Corporate Foundation Profiles.* The Foundation Center. Does the company have a foundation? This publication lists hundreds that do and gives such details as sample grants, when to apply, and who the officers are.
- *The Corporate Fund Raising Directory.* Public Service Materials Center. Philanthropic policies of major corporate foundations. Lists contact person, when to apply, sample grants, and more.
- Disclosure, Inc. In-depth financial information, e.g., proxy statements, listings of top company executives, their salaries and stock holdings. Write and request description of services.

• *Dun & Bradstreet Million Dollar Directory.* Five volumes list 160,000 businesses alphabetically and cross-referenced by location and industry classification.

• Institutional vendors. Work with your college purchasing agent to obtain a list of vendors. Compile a history of dollar volume, and request that a periodically updated report be provided for you. Vendors are excellent prospects for gifts.

• *Matching Gift Details.* Council for Advancement and Support of Education. Comprehensive guide to 1,043 companies that match employees' gifts to colleges, universities, elementary and secondary schools.

• *Moody's Manuals.* Industrial, Bank and Finance, Transportation, Public Utilities. Nature of business (services and products), net sales, net profits, number of employees, acquisition, and historical information.

• Standard & Poor's Compcard Service. Provides pertinent, up-to-date information. Select sorts by category (executives by geographic area, for example). Contact Standard & Poor's for more information concerning this excellent service.

• *Standard & Poor's Register of Corporations, Directors and Executives.* Three volumes (plus supplements) contain basic information on corporations and biographical information about officers, directors. Lists directorships on college and civic boards.

• *Who Owns Whom—Directory of Corporate Affiliations.* Companies that are subsidiaries of large corporations may be required to observe certain guidelines and restrictions in giving programs. You need to know "who owns whom" before you prepare a proposal or make a solicitation call.

• Periodicals: *Business Week, Forbes/Magazine of Business and Finance, Fortune Directory, Time,* regional magazines.

• Newspapers: *Wall Street Journal, New York Times,* local dailies.

Sources for foundation research

Get to know officers, directors, and staff of foundations in your region. Circulate their names among college personnel, board members, and volunteers. Try to establish connections for cultivation. And be sure to request that you be placed on mailing lists of foundations.

• Associates Program. The Foundation Center. Annual fee of $375 entitles you to call toll-free and obtain access to databases and library research services, including grant searches and updates, and other information assistance.

• Foundation annual reports. Find listing in the *Foundation Directory.* Ask to be placed on mailing list.

• *The Foundation Directory.* The Foundation Center. Foundations with $1 million plus in assets (over 3,000 listed). Provides information on giving inter-

ests, grant application procedures, state, city, personnel, areas of interest indices.

• *Foundations Today: Current Facts and Figures on Private Foundations.* The Foundation Center. Contains information about private foundations. Comprehensive.

• *List of Organizations described in Section 170C of the Internal Revenue Code of 1954.* Revised October 31, 1988, Publication #78.

• *People in Philanthropy: A Guide to Funding Connections.* Taft Group. A biographical directory of private foundation and corporate foundation officers, their affiliations and education.

• Periodicals: *Foundation News, Fund Raising Review, Grantsmanship News.*

• *Source Book Profiles.* The Foundation Center. Produced four times annually (125 profiles each quarter). Deals with larger foundations.

Donor and prospect records

When a new prospect is identified—even if the identification is only a name written on a paper napkin—you should immediately create a labeled file folder for that prospect. Enter whatever information you have on a profile form, the date, and where you got the information. Do this before you do any research and even if you have a fully developed donor software system on-line. Manual files, if properly maintained, provide a more complete, in-depth portrait of your donor and prospects.

Organize the folder chronologically, and keep in it documented records of all contacts with and about the donor or prospect: telephone calls, copies of correspondence, newspaper clippings, trip reports (reports of personal visits), and screening and rating reports. Also include information you received from other sources and be sure to note the source. Update the profile and giftmaster forms regularly and file them in the front of the folder.

If you do not already have preprinted profile and giftmaster forms, you should develop these forms yourself and use them in individual, corporate, and foundation files. Completed profile forms are regularly included in our solicitors' master packets, and provide important information about the prospect in a concise and uniform manner.

Your profile form, whether you use a preprinted form or develop one yourself, should allow enough space to enter the following information:

• name, maiden name, preferred name (nickname), approximate age, home address and telephone number;

• company name, address, and telephone number; donor/prospect's title;

• mail preference (home or business);

• college(s) attended, degree(s), and graduation year(s);

• affiliations (civic and fraternal organizations; directorships held; church, college, and foundation board memberships; advisory committees; and so on);

- contact people at your college (staff, alumni, volunteers, or friends of your college who know the prospect best);
- marital status;
- spouse's name and maiden name (if appropriate);
- spouse's employer, title, college(s), and degree(s);
- children's names and ages;
- contact record: dates and purposes of contacts; and
- rating information (giving capability).

The giftmaster should include the donor's name, address, and telephone number and a detailed gift history as follows:

- date and amount of each gift;
- gift method (outright gift or pledge);
- gift type (cash, appreciated securities, real estate, insurance, in-kind, and so on);
- employer match (company, match ratio);
- designation (unrestricted or if restricted, to what purpose);
- solicitor;
- campaign-generated (e.g., annual campaign, internal campaign, phonathon); and
- date of acknowledgement.

The giftmaster should also include the following details of pledges:

- date of each pledge;
- pledge amount;
- pledge term (one year, five years, payroll deduction, and so on);
- payments received (date, amounts); and
- balance outstanding.

Building a cross-referencing mechanism into the giftmaster will help you avoid confusion in cases of "vehicle" or "split" gifts. For example, David Brown owns David's Cleaners. Your institution maintains gift histories for both Brown and his cleaning establishment. Occasionally, Brown uses a company check to make a personal donation. This is sometimes referred to as a "vehicle gift." You might add a letter code ("V") after the date and amount on Brown's giftmaster to flag the gift and ensure that the proper account is credited.

Jane and Michael Palmer are both alumni of the college. They have separate gift histories and often give separate gifts, each writing a check on his or her own account. Upon occasion, they send a single check on their joint account. When they do this, they intend that the amount be split between the two gift records. A cross-reference code helps to maintain the accuracy of both records.

The computer is the simplest, fastest, and most error-free method of maintaining donor/prospect profile and giftmaster forms. You can easily add new data, do calculations, and print out the information to put in the manual file.

The importance of documenting for file all contacts with the prospect cannot be overemphasized. A report should be written immediately after a personal

visit, whether the visit is for cultivation or direct solicitation. It should contain the writer's observations of the prospect's lifestyle, attitudes, and reactions.

The development officer must convince volunteers that it is important to make these contact reports in a timely fashion while impressions are fresh. The development officer may have to follow up in some cases by interviewing the solicitor! But whatever it takes, every solicitation call should be thoroughly documented and filed.

Contact reports of personal visits, when combined with documented research, correspondence, and records of telephone contacts, provide a valuable tool for future analyzing, qualifying, and rating of the prospect.

The computerized development office

Many community college development offices are now automated, at least to some extent. You may already have computer software programs that answer your needs admirably or that can be modified to do so. If you are contemplating the purchase of equipment and/or donor management software, consider very carefully *why* it is needed, and be sure that it will accomplish what *you* want it to accomplish. There are scores of user-ready packages on the market, and one may be perfect for you. On the other hand, you might be better served by custom-designed software.

Consult the head of your college computer center, outline your needs, and solicit his or her expertise and assistance. You may opt for an outside consultant. But be sure that your needs are carefully documented and fully met. You may not be familiar with computer jargon. You may not be a computer expert. You are, however, a development expert, and you know what your information management needs are. Make sure that you communicate those needs effectively to whoever is providing technical expertise.

A good program should have the capability to provide:

- donor and prospect profile information in a format that is easily updated, expanded, and retrieved;
- gift and pledge information in sufficient detail (the more itemization you can build into your giftmaster, the better);
- pledge statements;
- acknowledgement letters;
- receipts;
- endowment earnings distribution;
- campaign management information;
- prospect tracking and rating;
- mailing lists; and
- reports and lists.

If your accounting function is performed within the development office, you may wish to work with your technical advisers and accountant to design an automated accounting system.

Remember that you will still need a manual filing system for donors and prospects. No automated system, however costly and sophisticated, can supply the in-depth information you must have for effective cultivation and solicitation.

Access and confidentiality

As a development professional, you are already aware of the need to keep research data in the strictest confidence. Most information you obtain is publicly available, but the cultivation or solicitation process will occasionally reveal information of a more personal nature. Be prudent about what you include in your file. Some information may not belong there at all. Limit access to donor and prospect files, and be certain that staff fully understand the need for confidentiality. Remember, too, that these files should be located in your area—and should stay there.

Strategy

You've done the research, and because of your careful efforts a detailed picture of a major prospect begins to emerge. What now?

In a large institution, the full-time researcher usually summarizes the information and forwards it to the appropriate development officer. In many community colleges, however, the same person who does the research will also develop (or help to develop) the strategy for cultivation and solicitation.

Study your file carefully. Your prospect may have major gift capability, but what are his or her giving loyalties? Is the prospect (and/or his or her spouse) strongly committed to another institution? What boards does the prospect serve on? What kinds of charities and causes has the prospect worked for or contributed to? What are his or her giving likes and dislikes; social, cultural, and political values and attitudes? What is the history of the prospect's involvement with and opinion of your institution? How is the prospect to be approached, by whom, and when? What is the best setting?

If you are beginning to sense that a journalistic approach—who, what, when, where, why, and how—to prospect strategy development is called for, you're right.

Analyze your information exhaustively and talk with your in-house and volunteer sources. Then give in to the newshound that lurks in all of us and write a proposed strategy paper that will both illumine the person and outline a plan for leading him or her to the desired outcome. Conclude with suggested

purposes for giving and a suggested range of gift size. If you feel the prospect should be approached for a deferred rather than an outright gift, say so. Just be sure to give your reasons for your conclusion.

Once the proposed strategy is completed, discuss it again in a session with appropriate volunteers and staff members. Commit to paper the final plan for action, and be sure to include a timetable.

Finally, make sure your solicitation team is well briefed for an interview with the prospect, and give team members a written request to leave with the prospect after the interview. The length and style of this request and the amount of detail included depend on such factors as whether the prospect is corporate or individual; whether the gift purpose is clearly defined; and whether the complexity of the project requires a lengthy treatise. In many cases, a brief letter is appropriate.

Whatever form your written proposal takes, it should include the requested gift amount and, whenever possible, it should be presented as part of the personal visit.

Effective research and accurate record-keeping and reporting are vitally important elements in the successful community college development program. Four-year colleges and universities have long recognized this, and many have developed these services to a level of sophistication that is not currently feasible for most community colleges. You can, however, tailor a more modest program to bolster your fund-raising efforts.

You might begin by planning for the ideal and then downscale this plan to accommodate your budget and the time you and your staff will be able to give to research. Publishers are more than happy to send brochures or other synopses that can help you develop the reference shelf most appropriate to your operation and budget. Be selective. Check for duplication, compare prices, and think carefully about shelf life. Remember that you will have to update some references on a fairly frequent basis. And above all, avoid investing in publications that no one has time to peruse.

Remember that even a modest effort can reap dividends. Effective research broadens your prospect and donor base, authenticates your cultivation and solicitation efforts, and significantly elevates your potential for attracting needed resources for your college.

Research Sources

Standard references:

CFAE Casebook. Council for Aid to Education, 51 Madison Ave., Suite 2200, New York, NY 10010. 1987 ed., $35.

The Corporate Foundation Profiles. The Foundation Center, 79 Fifth Ave., New York, NY 10003. 1988 pap. text ed., $75.

Directory of Medical Specialists. Marquis Who's Who/Macmillan Directory Div., Div. of Macmillan, Inc., 3002 Glenview Rd., Wilmette, IL 60091. 24th ed. (1989-90), 3 vols., $277.

Dun & Bradstreet Million Dollar Directory. Dun's Marketing Service, 3 Century Dr., Parsippany, NJ 07054. 5 vols., $1,095.

Dun & Bradstreet Reference Book of Corporate Management. Dun's Marketing Service, 3 Century Dr., Parsippany, NJ 07054. 4 vols., $550.

The Foundation Directory. The Foundation Center, 79 Fifth Ave., New York, NY 10003. Published in October of odd-numbered years. 12th ed., October 1989, $85. Supplements published in the fall of even-numbered years, $45.

Foundations Today: Current Facts and Figures on Private Foundations. The Foundation Center, 79 Fifth Ave., New York, NY 10003. 1988 ed., $7.50

Martindale-Hubbell Law Directory. Martindale-Hubbell Inc., Box 1001, Summit, NJ 07901. 1988 ed., $215.

Moody's Industrial Manual and News Reports (includes index). Moody's Investors Service Inc., 99 Church St., New York, NY 10007. 1988 ed., $1,075.

Source Book Profiles. The Foundation Center, 79 Fifth Ave., New York, NY 10003. Published March, June, September, and December. 1989 ed., $295/yr.

Standard & Poor's Compcard Service. Standard and Poor's Corp., 25 Broadway, New York, NY 10004. Approximately 1,220 profiles. Specify individual executive or company profile when ordering. $550.

Standard & Poor's Register of Corporations, Directors and Executives. Standard & Poor's Corp., 25 Broadway, 17th Fl., New York, NY 10004. $475/yr.

Who Owns Whom—Directory of Corporate Affiliations. National Register Publishing Co., Div. of Macmillan, Inc., Circulation Dept., 3004 Glenview Rd., Wilmette, IL 60091. 1989 ed., $528.

Who's Who in America (and other geographic areas). Marquis Who's Who/Macmillan Directory Div., Div. of Macmillan, Inc., 3002 Glenview Rd., Wilmette, IL 60091. 1987 ed., $335.

Periodicals:

Business Week. McGraw-Hill, Inc., 1221 Avenue of the Americas, New York, NY 10020. Weekly, $39.95/yr.

Forbes/Magazine of Business and Finance. Forbes Inc., 60 Fifth Ave., New York, NY 10011. Biweekly except weekly during two weeks in April and two weeks in October, $48/year.

Fortune Directory. Time Inc., Fortune Div., Time and Life Bldg., Rockefeller Center, New York, NY 10020. $10.

Foundation News. Council on Foundations, 1828 L St., NW, Ste. 1200, Washington, DC 20036. Bimonthly, $29.50/yr..

Giving USA Update. American Association of Fund-Raising Counsel Inc., Trust for Philanthropy (AAFRC, Inc.), 25 W. 43rd St., New York, NY 10036. Former

titles: *Giving U.S.A. Bulletin; American Association of Fund-Raising Counsel Bulletin; Fund Raising Review*. Bimonthly, $65/yr.

Grantsmanship News. Grantsmanship Center, 1031 S. Grand Ave., Los Angeles, CA 90015. Bimonthly, $204/yr.

Time. Time Inc., Time and Life Bldg., Rockefeller Center, New York, NY 10020. Weekly, $58.24/yr.

Town and Country. Hearst Magazines, Town and Country, 1700 Broadway, New York, NY 10019. Monthly, $24/yr.

Newspapers:

New York Times. New York Times Co., 229 W. 43rd St., New York, NY 10036. Subscription price varies.

Wall Street Journal. Box 300, Princeton, NJ 08540. Subscription price varies.

Other:

Disclosure, Inc. 5161 River Rd., Washington, DC 20016. Write for information regarding services.

Foundation Center Associates Program. The Foundation Center, 79 Fifth Ave., New York, NY 10003. $375/yr.

List of Organizations Described in Section 170C of the Internal Revenue Code of 1954. Rev. Oct. 31, 1988. Order Publication #78 from Superintendent of Documents, U.S. Government Printing Office, North Capitol and H Sts. NW, Washington, DC 20402. $38.

Matching Gift Details. Council for Advancement and Support of Education, 11 Dupont Circle, Suite 400, Washington, DC 20036. 1989 ed., $75.

Official Summary of Security Transactions and Holdings. Superintendent of Documents, U.S. Government Printing Office, North Capitol and H Sts. NW, Washington, DC 20402. Monthly, $64/yr.

David B. Canine

David B. Canine is the executive director for resource development and community relations for the Eastern Iowa Community College District in Davenport. He previously served as the director of development for Catonsville Community College (Catonsville, Maryland) and Randolph Community College (Asheboro, North Carolina). He has over 10 years of experience in procuring grants and contracts at the community college level.

Canine was the president of the National Council for Resource Development in 1988 and continues to serve on the NCRD Board of Directors. In 1985 he chaired the NCRD Federal Funding Task Force, which published the report "Federal Funding to Two-year Colleges: FY 1985." He served as the NCRD vice president for programs in 1986 and vice president/president-elect in 1987.

Chapter 21

Public Sector Grants

David B. Canine
Executive Director for Resource Development and Community Relations
Eastern Iowa Community College District

Public sector grants are awarded by public government agencies. These grants are categorical—that is, an institution must apply for funding to support a specific project or program. They are not automatically allocated to the institution on a formula basis.

A governmental entity obtains the grant funds from its constituency through tax and revenue authority. Federal, state, and local governments all make public sector grants. Agencies at each level award grants based upon the laws and regulations governing the grant-making program. Community colleges can receive grants from agencies at all three levels.

To satisfy the governing authorities and, ultimately, the public that provided the funds, a grant is made only after an applicant has submitted a proposal describing how the requested funds will be used. The agency must then review the proposal to assure its consistency with the purposes of the funding program. After adequate review, including a determination of the institution's eligibility to apply for funding, the agency may decide to make the grant and fund the proposal. The institution must then use the funds as stated to implement the proposed project.

The awarding agency retains responsibility for the funds and usually requires periodic programmatic and financial reports from the grantee. The grantee's financial records are subject to audit by the appropriate government agency for up to five years after the grant ends. If the grantee receives an annual audit, especially in the case of a public community college, this audit will often include grant funds.

Federal grants

Community colleges receive grants from a number of federal agencies. The National Council for Resource Development (NCRD), an affiliate council of the American Association of Community and Junior Colleges, annually compiles the report, "Federal Funding to Two-Year Colleges," which lists data on federal programs that award categorical grants to community colleges. The "Federal Funding" report indicates the total number of proposals received and the grants made by each program, as well as how many proposals were submitted by two-year colleges and how many of these were funded. The number of two-year colleges applying for and receiving grants has increased dramatically since 1980. As dramatic is the increase in the number of agencies and programs listed in NCRD's report.

Many community colleges that actively seek and receive federal funds initially received grants from the U.S. Office of Education under programs established by the Higher Education Act, including Aid to Developing Institutions (Title III), Cooperative Education, Special Services, Talent Search, Upward Bound, Veterans Cost of Instruction Program (VCIP), and College Library Resources (Title II).

Other federal agencies that funded some community colleges in the early 1980s were the Health Resources Administration (Nursing-Special Projects), the National Science Foundation (NSF), the National Endowment for the Humanities (NEH), and the Department of Energy.

Despite the efforts of the Reagan Administration to decrease federal funding for higher education, the expanded role of community colleges in the higher education world has led to increased community college participation in federal grant programs. Other Department of Education programs have become more responsive to community college requests. These programs include the Fund for the Improvement of Post-Secondary Education (FIPSE) programs, various discretionary programs administered by the Vocational Education Office of the Department of Education, the two internationally oriented programs authorized by Title VI of the Higher Education Act (Undergraduate International Education and International Business Education), other international programs supported through the Fulbright program, and the Library Technology Program. Others such as VCIP and Title II have shrunk or disappeared. The Department of Energy programs have been dismantled, and NSF's programs have been reorganized to focus on research rather than education.

Community colleges are now receiving grants from programs throughout the federal government. In many cases, these institutions took the initiative and persuaded an agency that community colleges could fulfill its expectations. Today, as a result of the expanding missions and expectations of community colleges, there is a growing federal acceptance of community colleges as a viable part of the higher education community, worthy of federal financial support. Community colleges receive grants from such diverse agencies as the

Environmental Protection Agency, Department of Defense, Administration on Aging, Department of Labor, National Endowment for the Arts, and the U.S. Information Agency.

State grants

A number of state-level grant programs are funded from federal sources. While the funds are of federal origin, they are actually awarded by state agencies to institutions within that state. As long as the state agency conforms to federal guidelines, it can follow its own discretion in making awards.

For community colleges, the most common of these grants are for Perkins Vocational Education Act programs. Most Perkins funds are distributed according to strategies developed by each state in its vocational education plans. The Perkins Act sets aside funds for support services to vocational education students who are members of disadvantaged populations such as displaced homemakers, disabled persons, limited English speakers, single parents, and prison inmates. Depending on a state's vocational education plan, community colleges may receive as much as 75 percent of these grants or none at all.

A number of community colleges receive support from the Small Business Administration to operate Small Business Development Centers. These funds are channeled through a state agency which administers the projects throughout that state.

The National Endowments for the Arts and the Humanities support state programs through statewide committees in every state. Both NEA and NEH provide most of the funding for the state committees, which is added to state and private funds. The state committees establish programs modeled on the national programs. These projects are smaller than the national projects, of course, but the funding can be much easier to obtain.

Artists and humanists usually staff the state committees, which may even be housed at a state university. The resulting lack of red tape encourages community colleges, and other community organizations, to seek grants to support special programs, especially those that are targeted to the general public. The committee staff members are helpful and genuinely wish to be involved in developing a project before any proposal is submitted.

States also appropriate funds for categorical grant programs to be administered by state agencies. The two agencies that usually receive the most state funding are education and human services. Most of this funding is appropriated by the state legislature for continuing programs—public schools, community colleges, state colleges and universities, welfare programs, and so on. These agencies usually also receive some funds for categorical programs.

Because public community colleges are part of the state education system and, therefore, accountable in some fashion to the state's education agency,

they are more likely to be aware of and have access to the categorical funds that state agencies distribute.

Unfortunately, few community colleges are aware of the opportunities available through the state human services agency. The community college mission includes services for potential students who have no other access to the higher education system. These are the clients served by the state's human services programs. Yet most community colleges make little effort to investigate the state programs that deal with developmental disabilities, mental retardation, foster care, aging, teenage pregnancy prevention, and displaced homemakers. And the community college that does seek these funds is often accused of competing with community agencies and organizations.

The fact remains, however, that a number of these programs are best implemented through community colleges. For example, training personnel to work with special populations, helping members of these special populations make the transition to adulthood, and similar efforts are appropriate community college activities. Of course, they require cooperation with local social service agencies to identify the personnel and clients to be served. A community college that maintains strong ties to these agencies and develops programs to enhance their efforts can create an atmosphere of trust that will result in expanded proposals to strengthen the entire support network. The successful community college can develop a mutually beneficial relationship with these agencies.

Local funding

Programs at the local level are even more diverse. Again, some are funded by federal or state funds passed through to the local government, but many are initiated locally. The level of activity depends upon factors such as the demographic nature of the area, local economic conditions, and the degree of political activism in the community. Participating in these local programs is certainly easier when a community college has developed the types of community relationships described above.

The Job Training Partnership Act (JTPA) presents a different type of funding—the contract. Administered through the U.S Department of Labor, the program actually offers funding at all three levels. However, most contracts are made through the local organization known as the Service Delivery Area (SDA). Every state is divided into SDAs established by that state. SDAs that operate in less populated areas may be administered at the state level, but most encompass a defined administrative area within the state.

A Private Industry Council (PIC), which must have a majority of its members from the private sector, governs each SDA. The PIC reviews applications and awards contracts. Approximately 55 percent of the nation's community colleges

receive JTPA funds to serve disadvantaged unemployed adults and youth. Services include remedial and developmental programs, prevocational and vocational preparation, and living skills training.

Some community colleges have won the contract to administer the JTPA program in their area. The local PIC awards this contract which usually lasts for a number of years. The community college is responsible for housing the program and providing support services, just as with any other project. The PIC retains its grant-awarding authority, and the community college must compete for funds just like any other qualified agency. There must be no appearance of a conflict of interest. However, much of the money JTPA awards is to conduct programs that are naturally suited for community colleges. The proactive community college will receive significant local JTPA funds regardless of what agency administers the program.

JTPA funds are funneled to each state through the governor's office, which designates a state agency to administer the program according to the state's plan (which must be approved by the Department of Labor). This agency retains certain amounts of the JTPA funds in a number of categories for grants to be made at the state level. Many of the projects funded at this level have a statewide impact, but they can be operated either by a consortium or by a single agency such as a community college. The state agency retains significant discretion in awarding these grants.

Finally, "Secretary's Discretionary Grants" are available from the Department of Labor for large-scale demonstration programs and to serve dislocated workers. Community colleges have worked with the local SDA, state agency, and governor's office to obtain grants from this source, especially in communities that have experienced significant factory closings.

The development office plays a critical role

The competition for grants—among community colleges and with other educational and social service agencies—is intense at all levels. Because of budget limitations, many of the original federal education programs make awards to less than 25 percent of the applicants. This competition has forced funding agencies to develop stricter guidelines and proposal review procedures. Consequently, a community college seeking funding must submit a high-quality proposal that specifically addresses the program's intent.

The critical role played by a college's development office in this process could explain the explosion in the number of community colleges that have created distinct resource development offices since 1982. Even the most skilled community college faculty member or program developer will have difficulty consistently getting proposals funded without cooperating with the development office.

The development office's responsibility in the grant-seeking process stretches from the initial search for a potential funding agency through the preparation of the proposal and up to and after the final decision on whether to grant or deny funding. These responsibilities are both external and internal. The development office should be the primary external agent in the process, initiating and maintaining agency contacts and representing the college. The internal role of the development officer varies, depending upon institutional expectations and administrative realities.

While there are certain strategies for seeking grants at any of the three levels, each development officer must be able to adapt the strategies to the specific situation. Institutional conditions can vary drastically; what is effective at one community college may result in a disaster at another. Potential funding agencies, too, have their own institutional personalities and they operate under a myriad of regulations. Activities that bring in a large grant from one agency may permanently preclude another from funding any proposal from that college. A development officer must be skilled at recognizing and adjusting to these conditions without revealing frustration or anger.

The internal role of the development office in the community college is determined by presidential direction, faculty and staff expectations, institutional history, and the development officer's personality. While some studies have attempted to identify commonalities of "the successful development office," the definitions of "successful" itself vary as much as the findings. The resource development professional must formulate an institutional definition of "success" for the development program based upon the factors cited above. This definition must be attainable within the college's personality.

Defining the external role of the development office is easier. The first step is to identify potential funding sources. Several government publications are necessary for this research. *The Catalog of Federal Domestic Assistance* lists information about federal grant programs; the *Federal Register* contains announcements of proposal deadlines, application packets, and proposed and final regulations concerning grant programs. Several states produce similar publications for their grant programs and regulations.

Numerous commercial publications and services, including computerized databases, can also simplify this research. Many are targeted to a specific department or to a topic, such as higher education or health. The development officer should review a number of sources and select those that best respond to the college's needs.

Two national associations for development professionals can also assist in this research—the National Council for Resource Development and the Council for Advancement and Support of Education (CASE), an independent organization of institutional advancement professionals from all segments of education. Both organizations strongly encourage members to participate in

professional development activities that strengthen contacts within the field and share resources. (See Section 5 for addresses.)

There are two ways to look for funding sources: The development officer may research sources for future reference and to develop general expertise in available grants, or he or she may seek funds to implement a specific project being planned by the college. In the first case, the research will be general. Reviews of the publications, including NCRD's "Federal Funding to Two-Year Colleges," and conversations with colleagues at other community colleges will help identify programs that often support community colleges.

When the officer is seeking funds for a specific project, the research must be more focused. Publications related to the area of the project and a computer search could be valuable, as would conversations with colleagues who have had similar projects funded. This research not only identifies agencies that might fund the project, but also helps determine the agency's priorities within its general funding guidelines.

Once potential funding agencies have been identified, the development officer must contact them. While the grant selection process has become less political, especially at the federal and state levels, personal contacts are still very important. Through personal contacts with agency personnel, the development officer learns what the agency is truly seeking. While every agency has statutorily defined purposes, it is also a political institution. It must be responsive to the goals of the governing administration that recommends the funding as well as the legislature that appropriates the funds. Few agency directors are eager to answer critical questions from either group. This attitude usually extends to agency staffers and program officers who want to work in some form of stability.

Personal contacts with program personnel also make the agency aware of the college and help establish credibility. Even the most pristine field reader review process can only strongly recommend a proposal for funding. After a proposal has been recommended, program personnel will review it to determine the amount of funds it should receive or, perhaps, to make a final decision on whether it should be funded at all. When the reviewer thinks well of the community college, he or she will believe that the college will use the funds wisely and will be more inclined to grant the request.

Personal contacts are also valuable after a project has been funded. The success of a project—meeting its objectives on time and within budget—confirm's the program officer's judgment, enhancing his or her standing in the agency as well as that of the college. The college is more likely to get a sympathetic hearing in future proposal reviews or if the development officer needs to request a budget or programmatic change or an extension of deadlines in the current project. At all three levels, but especially state and local, some agencies can award grants or contracts without a full competition. The well-

respected, highly credible development officer and community college have the best chance of being selected for such projects.

Conclusion

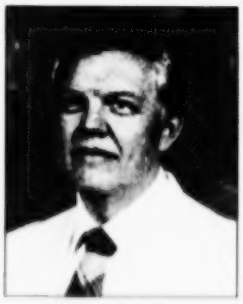
More public agencies and nonprofit organizations are seeking public sector grants than ever before, even though less money is available in many programs. More community colleges are involved in this search than ever before, and, happily, more community colleges are receiving public sector grants than ever before.

The arrival of the community college as a vibrant, full-fledged participant in higher education has been a vital factor in the growth of grants to these institutions. This exciting growth is exemplified in the increasing number of community college resource development offices and the impressive professional skills displayed within these offices. Community colleges are in prime position to take full advantage of the new public sector grant programs that will emerge in response to the social and political concerns of the coming decade.

Stephen R. Wise

Stephen R. Wise is vice president for institutional advancement at Florida Community College at Jacksonville. He has been active on the national two-year development scene since coming to FCCJ in 1970. He has served as an officer, committee chair, and leader in the National Council for Resource Development and the Council for Advancement and Support of Education, and has written numerous articles and publications. He attained his Ed.D. from the University of Alabama in 1970 and a B.S. from Florida Southern College in 1963.

In addition to being vice president for institutional advancement at FCCJ, Wise currently represents his home district as a member of the Florida House of Representatives.



Jeffrey G. Oliver

Jeffrey G. Oliver is assistant dean for employment and training programs at Florida Community College at Jacksonville. He has been actively involved in resource development since 1974 and now directly supervises development, contract negotiation, and operations of more than $2 million in annual performance contracts and related grants for the college.

He is president of the Florida Council for Resource Development and vice president of NETWORK (a national consortium of community colleges involved with JTPA and welfare reform). Oliver is also president of his church board of directors and active in many other community organizations.

Chapter 22

Performance Contracting

Stephen R. Wise
Vice President for Institutional Advancement
Florida Community College at Jacksonville

Jeffrey G. Oliver
Assistant Dean for Employment and Training Programs
Florida Community College at Jacksonville

Before you can understand contracting and performance contracting, you need to know how contracts differ from grants. Webster defines grant as "give," perform as "accomplish," and contract as "accept or agree." Taking these definitions literally, you could say a grant is something "given" to you and a performance contract is "an agreement to accomplish" something.

While almost everyone understands what a grant is, some community college administrators have been operating contracts as if they were grants. This misunderstanding can have a severe fiscal effect on a community college.

Grants and contracts generally differ in the following ways:

	Grant	*Contract*
Budget	Detailed line-item budget required by funding agency	Line-item budget may be required by agency but is not incorporated in the contract
Goals	Often subjective rather than product-oriented and may not be quantifiable	Specific, quantifiable with type of evidence (proof of completion) and timeframes identified

Payment	Generally provided at regular intervals	Usually no advance payment; payment only after objective (product) is completed (delivered)
Excess funds	Returned to the funding agency	Retained by the institution*

**Certain restrictions apply to JTPA funding (see below)*

Private and public sector funding sources use two basic types of contracts:

- **A contract for service:** For example, a recruiter visits a certain number of sites per week and talks to potential students about the college's program.
- **A contract for a product:** A recruiter arranges for a specified number of students to be enrolled in the college's program within a specified timeframe.

The community college can engage in both public and private sector contracts. Public sector contracts may be obtained from any agency that receives appropriations from federal, state, or local governments. The possibilities are almost endless, but some of the better-known sources include: Job Training Partnership Act of the Department of Labor, Department of Defense, Department of Education, Department of Health and Human Services, and the National Science Foundation.

Private sector contracts were traditionally for contract training in the vocational education division of the community college. However, with the emergence of more sophisticated economic development initiatives by community colleges, private sector contracts have expanded in both size and scope. A new development that is extremely lucrative for community colleges is private sector contracting for technical writing.

This chapter focuses on the Job Training Partnership Act (JTPA) for three reasons:

- The pool of available funds is large (approaching $2 billion per year);
- Most community colleges have not fully explored the opportunities available with JTPA funding; and
- JTPA funding has the potential to assist community colleges in achieving their missions and is readily accessible at the federal, state, and local levels.

Philosophical construct

The nation's community colleges have the opportunity to emerge as the primary source of training and retraining of America's workforce in the 1990s. It is well documented in *Workforce 2000* and other references that America's workforce will dramatically change within the next decade (Johnston and Packer, 1987). Community colleges must prepare themselves to retrain dislo-

cated workers who become unemployed because of technological changes and to train minority and disabled populations traditionally excluded from the mainstream of the workforce.

Congress has responded to these needs with major legislation, including the Family Support Act of 1988, the Omnibus Trade and Competitiveness Act of 1988, and the Worker Adjustment and Retraining Notification Act. These three pieces of legislation have completely overhauled the welfare system and part of JTPA and will, at least theoretically, provide the necessary financial resources to make our country competitive in the world market by training and retraining Americans who desire and are capable of working. Additionally, this legislation changed JTPA and its delivery system requirements through a number of technical amendments that are designed to encourage more local participation in helping the long-term unemployed and those being laid off.

The authors hope this chapter will serve as a basic reference for professionals in the field of institutional advancement as well as community college presidents who seek to fulfill their institution's mission and prepare America's workforce. This chapter discusses how funding through the Job Training Partnership Act can accomplish this task.

While there are differences in implementation of JTPA at the local and state levels, certain generic similarities hold true throughout the country. Here are the answers to some commonly asked questions about contracting with JTPA:

1. What can JTPA do for my institution? JTPA can provide funding to address tasks already being delivered within the framework of most community colleges. Additionally, JTPA funding can be used to support some functions within the community college delivery system for which state or local funding dollars are not presently available. The following are some of the areas in which JTPA funding is appropriate:

- recruitment;
- counseling;
- child-care services;
- transportation;
- training in basic skills, occupational skills (credit and noncredit), and employability skills;
- tuition and books;
- job placement services;
- follow-up (institutional research);
- program-related equipment;
- tools needed by students for instruction;
- uniforms for students;
- marketing (printing and advertising);
- consultants;
- curriculum development; and
- on-the-job training.

2. As an institutional advancement officer, how do I access information about JTPA? On the national level, contact Robert N. Colombo, Director, Office of Employment and Training Programs, U.S. Department of Labor, 200 Constitution Ave. NW, Washington, DC 20210, (202) 535-0577.

On the state level, the governor has the responsibility for establishing a State Job Training Coordinating Council to advise him or her on JTPA policy and procedures. Each state has designated an agency to administer the funds. Contact the governor's office for the names and phone numbers of contact persons.

On the local level, each state is divided into Service Delivery Areas (SDAs) for delivery of JTPA programs. Each SDA is commonly referred to as a Private Industry Council (PIC). Contact the local PIC or the local governmental authority to determine who is responsible for administering JTPA funds in your area.

3. What target populations are eligible for JTPA funding? JTPA services are targeted mainly to the populations that community colleges are mandated to serve, such as minorities, educationally disadvantaged, unemployed who need training, persons laid off who need additional skills, high school dropouts who need remediation, and senior citizens who need to be trained for full- or part-time work to supplement social security income.

Under Title II Part A, funds are targeted towards three categories of the economically disadvantaged:

- youths (14 through 21), both in school and out of school;
- adults (22 through 54); and
- senior citizens (55 and over).

Title II Part B enables community colleges to become involved in outreach and recruitment activities as part of a summer program initiative for economically disadvantaged youth (14 through 21). The Department of Labor is currently considering extending this program to provide year-round services. This would permit Title II Part B funds to support a unique upwardbound type program in which community colleges could focus their efforts on this sector of their public.

As part of the Omnibus Trade and Competitiveness Act of 1988, Title III of the JTPA was amended to create the Economic Dislocation and Workers Adjustment Assistance (EDWAA) Program. An array of training and services at community colleges can be developed for individuals designated as dislocated workers—individuals who have been unemployed 15 out of the last 26 weeks (long-term unemployed) or who are out of work because of plant closings or massive layoffs. A major component within the community college mission is to put America back to work, and funding from this part of JTPA is targeted towards that mission.

Funding under Title IV Part A is specifically directed towards Indian, Alaskan Native, and Hawaiian Native populations. In order for a community college to obtain this funding, it must be able to document that these populations constitute the majority of its primary enrollment.

Two major programs are funded under Title IV Part B—migrant farm workers and the 107 designated Job Corps Centers. These training centers are established to serve a unique population of dropouts and are usually operated under contract to the federal government by private corporations. Although direct funding for community colleges under this Title is almost nonexistent, community colleges can obtain a subcontract from the prime contractor to conduct classroom training or job placement services.

Under Title IV Part C, training and services are available for service-connected disabled veterans, Vietnam veterans, and veterans who have been recently separated from military service. In the past, community colleges have played a major role in helping veterans receive proper training and placing them in meaningful and productive jobs. Through Part C, community colleges can become a major player in any program that provides training and services to veterans.

Title IV Part D provides funding for approximately 30 national research, evaluation, pilot, and demonstration projects. Community colleges are most likely to receive funding under Part D for pilot and demonstration projects. For many years and with a variety of funding, community colleges have been involved in innovative, creative programs, and in pilot-testing new delivery systems such as the interactive videodisc system developed in Florida to teach employability skills. Community colleges should become aggressive in seeking funding for the purpose of delivering new and innovative approaches to meet the needs of the various target populations.

4. What are some of the advantages of seeking a JTPA contract? A community college can become a provider of JTPA services under the law if it provides educational training and retraining of workers within the Service Delivery Area's realm of responsibility. Section 107(c) of the law states:

> Appropriate education agencies in the Service Delivery Area shall be provided the opportunity to provide educational services, unless the administrative entity [i.e., the local PIC] demonstrates that the alternative agencies or organizations would be more effective. . . .

The institutional advancement office should statistically document the college's ability to effectively and efficiently deliver training to individuals requesting such training.

A JTPA performance contract can provide sufficient flexibility within its operational budget to generate a surplus of revenue at the conclusion of the contract period. Revenues that are generated above expenses on a JTPA performance contract are referred to as program income. Under new regulations published in the March 13, 1989, *Federal Register*, program income, if earned after July 1, 1989, can be used only for JTPA sanctioned activities or it must be returned to the funding agency.

JTPA performance contracts are easier to obtain than other types of funding. Large amounts of JTPA funds are available at the local level. Competition for contracts is usually local and limited to local service providers, and this increases a community college's chance of receiving funding.

The target populations addressed by JTPA regulations are within the purview and mission of most community colleges. Therefore, funding secured through JTPA performance contracts can assist community colleges in achieving their stated goals.

Finally, the community college owns the equipment and other capital outlay items purchased under a performance contract. At the conclusion of the contract, the college can use the equipment for programs not related to JTPA activities. (However, it appears the new JTPA regulations published in the March 13, 1989 *Federal Register* will affect this concept also.)

5. *Are there any disadvantages to a JTPA contract?* If the community college does not have a centralized administrative organization, the delivery of services can become fragmented or even out of control. The result may be that the college spends more funds than it receives and must make up the deficit from other funds. The community college that does not have flexible administrative procedures and cannot hire and fire personnel without a lot of red tape will find it difficult to meet delivery benchmarks.

In essence, managing a community college department under the performance contract model is like operating a private business that manufactures and sells its product. If the business spends a considerable amount on producing and marketing the product but there are no sales, the business fails. Likewise if the community college, which contracts to train so many individuals and to place them in competitive employment for a minimum of 30 days, spends its resources on training the students but does not place any on the job, it will not receive any compensation.

Another disadvantage of JTPA contracts is that the college does not receive any advance payments; JTPA payments are usually made after the product is delivered. Therefore, the college must have a sufficient cash balance to cover up-front payroll costs.

A third disadvantage is that the JTPA funding agencies almost always encourage short-term training although the law stresses long-term training. The reason for this difference is the performance standards by which JTPA funding agencies are rated. Currently there is a lot of movement to correct this problem. In any case, "long-term training" generally means one year or less with many JTPA entities. This same phrase to a community college employee would no doubt mean two or even four years. Therefore, many community college two-year training programs would not work well with JTPA.

Another related issue is the fact that many long-term unemployed or economically disadvantaged persons have a variety of educational, social, financial, and emotional problems that are difficult to remediate or overcome within the JTPA funding timeframe. The deprivation of some individuals is so severe that

enrolling in a short-term JTPA performance contract program may do no good. Therefore, selectivity of participants is much more crucial than in the traditional open enrollment vocational training programs.

Conclusion

Not all community colleges are administratively or psychologically equipped to engage in performance contracting. The wave of the future is performance and accountability. Quality indicators that identify programs that are meeting federal, state, and local needs must be put in place. Community colleges that structure themselves to manage performance contracts and to be held accountable for their products will obtain and retain the confidence of the people and state governing bodies and receive the bulk of the performance training contracts.

Reference

Johnston, William B., and Arnold H. Packer. *Workforce 2000: Work and Workers for the 21st Century*. Indianapolis, IN: Hudson Institute, June 1987.

Chapter 23

Government Relations: A Necessity, Not an Option

G. Jeremiah Ryan
President
SMG Research

One of the most significant external factors with which college presidents have to deal is the increase of governmental influence. Richard Alfred of the University of Michigan has argued that the new leadership of community colleges in the 1980s and 1990s will have to possess political skills unknown to leaders of earlier decades (Alfred, 1984). In periodic reports published by Pennsylvania State University's Center for Higher Education, S.J. Martoranna has documented the pervasive influence of state governments in the 1980s.

Politics is not new to higher education. Politics and higher education have always been interrelated. Politics takes place at various points within and outside the institution. The critical point at issue today is whether or not higher education can develop among its leadership the political skills to make an effective case for autonomy and to provide adequate justification for institutional action when such action is jeopardized by governmental incursion.

Politics occurs at the national level through the federal government's involvement in accreditation, civil rights policy, equal opportunity affirmative action, and financing. There are over 300 education lobbies in Washington.

Politics at the state level revolves largely around finance issues, but statewide coordination has become an important issue in recent years. As federal and state governments become more complex, as higher education systems become more diverse, as public revenues become scarcer, government relations becomes more and more important.

Additionally, lobbying has become both necessary and pervasive because of several factors: the loss of influence of local party leaders, the wider distribution of legislative power among elected representatives, the recent trend of member turnover in legislatures, and the opening up of the legislative process by several "sunshine" measures—public committee meetings, roll call votes, public hearings, and advance notice of sessions.

What are government relations and lobbying?

Government relations is a systematic effort that includes identifying objectives, assessing strengths and weaknesses, developing strategies, and building support. Lobbying is nothing more than the art of persuasion as applied to elected representatives or appointed bureaucrats. The purpose of lobbying is to win support. Any communication, through a personal contact, a letter, a telegram, or otherwise, with a legislator or bureaucrat, the purpose of which is to influence legislation or regulation, is lobbying. Most writers agree that providing information in a succinct and organized manner is essential to successful lobbying.

Despite the fact that the federal and state governments pose distinct threats to the autonomy of colleges and universities, the higher education lobby has chosen to be basically reactive and nonaggressive. Most of the effort has come from the national associations while the individual campuses have been largely inactive.

In the past, presidents did not have to be experts in the area of government relations or lobbying. Times have changed. In the future, a president's failure to have this skill will clearly have an adverse impact on the ability of the institution to achieve its goals and objectives.

Why is government relations necessary?

Academic decision making responds not only to internal interest group pressure, but also to pressure exerted by groups external to the institution. Community colleges can have great influence over their state appropriations if they actively and systematically seek to influence key state officials. The efforts of community colleges in the government relations area are necessary to counteract the attempts of legislatures to put education on the defensive in order to hold down appropriations. Only effective government relations programs will enable institutions to influence appropriations and to promote the confidence of elected officials in the value of higher education.

How is higher education lobbying conducted?

According to a review of case studies, colleges and universities have been successful with such traditional means as:

- distributing to every legislator a high-quality printed information packet on a specific issue;
- scheduling regular luncheons in Washington or in the state capital to convince officials of the institution's needs;
- using alumni to approach candidates for state legislature to explain the college's needs; and
- using letters from students supporting or opposing particular legislation.

Numerous writers also advocate the following approaches:

- routinely contacting appropriate government officials by letter, phone, or personal visit;
- inviting legislators to visit campus; and
- cultivating legislative staff.

The individual coordinating government relations should be fair, objective, factual, professional, available, knowledgeable, concise, tolerant, and specific. As part of the government relations program, he or she should:

- have a specific plan with long- and short-term legislative goals;
- involve all campus constituencies in the development of the legislative plan; and
- follow a calendar of activities.

Government relations for the community college

What are some of the special considerations for community colleges? The fact that legislators consider them to be local institutions gives community colleges considerable potential for effective representation. At least one analyst, however, has complained that community colleges have not achieved this potential because of their lack of good data. Some education experts have argued for the effective use of local media to influence officials; others believe that community college lobbyists should limit their efforts to a few major issues that most dramatically affect the colleges, such as funding formulas.

While each community college may have its own special problems or needs, most depend on government—state, local, and federal—for a major part of their revenues. In significant ways, then, they share a common situation with other two-year institutions. Thus, the checklist that follows should be applicable to the majority of two-year colleges.

If you know the answers to all the questions on this list, congratulations: You probably already have an effective government relations program. If, however, it's all new to you or if you can only check off a few items, use the

checklist to design your lobbying effort. You may be starting from scratch—but at least you're starting.

Checklist for Government Relations

Yes, I regularly read the following sources of information on federal programs:

___ *American Education*
___ *The Chronicle of Higher Education*
___ *The Washington Post*
___ *The Wall Street Journal*
___ *The New York Times*
___ *Higher Education Daily*
___ *Congressional Quarterly Weekly Report*
___ *Catalog of Federal Domestic Assistance*
___ *Congressional Record*
___ *Federal Register*
___ *Official Congressional Directory*

When focusing on one issue, I know the answers to the following questions:

___ How many individuals are affected by the legislation or activity?
___ How visible to the public is the issue?
___ How popular with the public is the issue?
___ What political parties are involved?
___ What outside concerns or interests are involved? Pro? Con?
___ How much does this legislation cost?
___ Who will pay?
___ Is it the right thing to do?
___ Where can I go to learn about this issue?
___ Who can help me formulate my position on this issue?

Yes, I have the following information about my state legislators:

___ their educational, professional, family, and religious backgrounds;
___ their interests and hobbies;
___ their special legislative interests and why they are interested in them;
___ the committees and subcommittees they are on and how long they have sat on these committees [you would approach a legislator on a mental health committee one way, a legislator on an energy committee another];
___ the organizations they belong to and how much influence, if any, these organizations or individuals within these organizations have on the legislators;

___ the kinds of arguments they are susceptible to [do they respond to health arguments, civil rights concerns, economic arguments, the anti-poverty pitch—or what?].

Yes, I have available the following research data on my institution:

___ enrollment;
___ degree programs;
___ special populations;
___ governance structure;
___ alumni records;
___ financial status;
___ community needs;
___ budget;
___ physical plant;
___ student profile;
___ faculty profile.

Yes, I can answer these questions asked by state legislators:

___ What are community colleges doing today?
___ What should state priorities be in funding community colleges?
___ Can we afford to implement the ideal that every American has a right to education?
___ What are the costs/benefits of adult and continuing education?
___ What is the state's interest in community colleges?
___ Are students in community colleges well prepared to transfer to four-year colleges and universities?
___ Can remedial services be justified in terms of costs to the taxpayers?
___ Should the state pay for recreational types of programs? For arts and crafts?
___ What is the appropriate division of labor among the public postsecondary institutions of the state?
___ What assurance do we have that the community college is well managed and that state funds are utilized for the purposes intended?

Yes, I can answer the following questions about the partisan make-up of the state and federal legislatures:

___ Who is in the majority in each house?
___ Who is in the minority in each house?
___ How many members are in each party in both houses?
___ To which committees could the bill most likely be assigned?
___ Who are the chairs of those committees?
___ Who are the potential friends on the committees?
___ Who are the opponents?

Yes, I've developed:

—— a systematic legislative relations calendar.
—— a legislative alert network.

References

Alfred, Richard L. "Maximimizing Institutional Responsiveness to Changing Environmental Conditions" in Richard L. Alfred, Paul A. Elsner, R. Jan LeCroy, and Nancy Armes, eds., *Emerging Roles for Community College Leaders*, New Directions for Community Colleges No. 46. San Francisco: Jossey-Bass, 1984.

Section 5

Special Resources for the Advancement Professional

Judy Diane Grace

Judy Diane Grace serves as director of research for the Council for Advancement and Support of Education. She coordinates activities for the CASE Commission on Research including the John Grenzebach Awards for Outstanding Research in Philanthropy in Education.

Grace previously worked in the community college systems in Virginia and Maryland, served as consultant for two-year institutions in Iowa and Nebraska, worked as a policy analyst in the University of Maryland System Administration, and held faculty positions in higher education at George Washington University and Iowa State University. She is active in the Association for the Study of Higher Education and the American Educational Research Association.

Special Resources for the Advancement Professional

Judy Diane Grace
Director of Research
Council for Advancement and Support of Education

Associations that can help

Many associations can provide material and expertise to help in promoting the two-year college. The associations that are listed below can provide immediate help or channel your request to the appropriate source.

American Association of Community and Junior Colleges (AACJC)
One Dupont Circle NW, Suite 410
Washington, DC 20036
(202) 293-7050

AACJC is the primary two-year college association. It provides a broad spectrum of services including a directory of member colleges, various newsletters, legislative information, an annual meeting, and publications on special topics. AACJC has two councils with interest in advancement activities: **National Council for Resource Development (NCRD)** and the **National Council for Marketing and Public Relations (NCMPR).** Both can provide targeted information and expertise.

Association of Community College Trustees (ACCT)
1740 N St. NW
Washington, DC 20036
(703) 941-0770

The purpose of this group is to unify trustees in order to give direction to community colleges. ACCT conducts CEO searches and offers board retreats. Other services include a newsletter, books, reports, and national and regional meetings.

Council for Advancement and Support of Education (CASE)
11 Dupont Circle NW, Suite 400
Washington, DC 20036
(202) 328-5900

More than 2,900 colleges, universities, and independent schools belong to CASE. Representing those member institutions in CASE are institutional advancement

professionals, including alumni administrators, communicators (in institutional relations, periodicals, and publications), educational fund raisers, government relations officers, student recruitment specialists, and managers of these areas. CASE's services and activities include conferences and workshops, publications, annual and regional meetings, and a reference service.

Council for Aid to Education (CFAE)
680 Fifth Ave.
New York, NY 10019
(212) 541-4050

This group gathers comparative data on financial support of colleges and universities and publishes a comprehensive yearly report, *Voluntary Support of Education*. Included in the report are endowment figures, enrollments, and educational and general budgets.

League for Innovation in the Community College
25431 Cabot Rd., Suite 203
Laguna Hills, CA 92653
(714) 855-0710

The League seeks to encourage innovation in the two-year college and offers exchanges of materials and innovative programs among faculty and staffs. Services include workshops, publications, an annual meeting, and, for aspiring presidents, an Executive Leadership Institute.

National Society of Fund Raising Executives (NSFRE)
1101 King St., Suite 3000
Alexandria, VA 22314
(703) 684-0410

This association works with fund raisers in colleges, community groups, and other nonprofit organizations, and can be helpful in the use of the community as a resource. It also offers publications, a reference service, and meetings on various aspects of fund raising.

Public Relations Society of America (PRSA)
845 Third Ave.
New York, NY 10022

This group provides specialized information on public relations through professional development workshops. Other services include publications, a referral service, a speakers bureau, and a library.

Reference Materials and Centers

Your college library or a good-sized public library will have many useful reference materials. Most associations and federal research centers have small libraries and offer reference question services.

American Council on Education
Library and Information Service
One Dupont Circle, Suite 600
Washington, DC 20036
(202) 939-9405

This reference collection is focused to answer questions in the field of higher education. It contains general reference works, biographical information, indices to periodical literature, and publications issued by the National Center for Education Statistics. The library subscribes to approximately 150 periodicals and can arrange interlibrary loans.

Catalog of Federal Domestic Assistance
Superintendent of Documents
U.S. Government Printing Office
Washington, DC 20402

This is the first step in identifying programs that will consider requests from two-year schools.

CASE Reference Center
11 Dupont Circle NW, Suite 400
Washington, DC 20036
(202) 328-5942

The library at CASE contains many books, dissertations, studies, and how-to materials on advancement topics useful for two-year colleges. The staff can copy from the files excellent examples of plans and brochures from two-year colleges. Help with research projects is a CASE membership benefit.

Council on Foundations
1828 L St. NW
Washington, DC 20036
(202) 466-6512

The Council on Foundations maintains current data on the location and asset size of most community foundations and keeps a library of annual reports and other background information. The Council publishes the bimonthly *Foundations News—The Magazine of Philanthropy*, with in-depth coverage of current philanthropic activities and issues as well as regular features on community foundations, corporate giving, and legislation and regulation.

ERIC Clearinghouse for Junior Colleges
University of California
8118 Math Sciences Bldg.
Los Angeles, CA 90024
(213) 825-3931

This is one of 16 federally supported clearinghouses. Its primary function is to gather and disseminate research-based information on two-year colleges. The

Clearinghouse can provide copies of studies and programs at other two-year institutions. The system can probably be accessed through your college library.

Federal Register
Superintendent of Documents
U.S. Government Printing Office
Washington, DC 20402

This weekly report of legislative action announces due dates for grant and ongoing funding programs (FIPSE, TRIO, etc.). Your college library or the president's office should receive this, and the public library probably does also. Subscriptions are $300 annually.

The Foundation Center
79 Fifth Ave.
New York, NY 10003
(212) 620-4230

1001 Connecticut Ave. NW, Suite 938
Washington, DC 20036
(202) 331-1400

The Foundation Center has over 100 cooperating collections around the country and regional offices in New York, Cleveland, San Francisco, and Washington, DC. In addition to its indispensable resource directories—the *Foundation Directory*, the *National Data Book*, and the *Grants Index*—the Foundation Center collections include copies of foundation annual reports and the required tax form, the 990-PF, containing information on finances and grants. The Foundation Center's Associates Program entitles members to a toll-free telephone reference service and access to customized searches of the Foundation Center's computerized databases.

The higher education board of your state
(listed in the blue pages in your telephone book)

Most state and local boards keep minutes of board actions affecting schools as well as federal laws with which educational institutions must comply.

National Center for Education Statistics
Postsecondary Education Statistics Division
555 New Jersey Ave. NW
Washington, DC 20208
(202) 357-6354

This library contains surveys dealing with education from the preschool to the postgraduate level. Survey information is available on the number and type of schools, teachers, and students, and on the financing of education.

Taft Foundation Reporter 1989
The Taft Group
5130 MacArthur Blvd.
Washington, DC 20016
(202) 966-7086

This comprehensive listing covers who funds what in the foundation world. Community and junior colleges are eligible for funding through many foundation programs.

U.S. Department of Education Research Library
80 F St., Capitol Plaza
Washington, DC 20208
(202) 357-6692

This federally supported collection houses textbooks, manuals on teaching, research studies, and education periodicals. The public can use the materials on site, and the staff will respond to telephone inquiries. The library has a complete collection of the ERIC documents, most of the U.S. Census material, and material from the Educational Testing Service.

Readings for the Development Office Library

Arthur Andersen and Co. *Tax Economics of Charitable Giving*. 10th ed. New York: Arthur Andersen, 1988. This basic reference tool for campus leadership will help you answer donors' questions; two-volume set.

Bryant, Peter S., and Jane A. Johnson, Eds. *Advancing the Two-Year College*. New Directions for Institutional Advancement No. 15. Washington, DC: Jossey-Bass and Council for Advancement and Support of Education, 1982. This pioneer collection includes 12 chapters specifically for two-year practitioners by some of the leaders in the field; a "standard" library resource; 113 pages.

Council for Advancement and Support of Education. *Initiating a Fund-raising Program: A Model for the Community College*. Washington, DC: CASE, 1989. Developed by the CASE Advisory Committee on the Community College Model Fund-raising Program and funded by the Exxon Education Foundation, this monograph will help you decide whether your college should initiate a major private sector fund-raising program. The monograph covers how to develop and implement such a program: creating a 501(c)(3) foundation; establishing who does what; setting up a realistic timetable and a budget; dealing with obstacles; and more; 36 pages.

CURRENTS, Council for Advancement and Support of Education, 11 Dupont Circle, Suite 400, Washington, DC 20036. This magazine is published 10 times a year for advancement professionals and member institutions of CASE. It features information on public issues affecting higher education and articles and research related to institutional advancement.

Gorman, Brian, ed. *Finding Lost Alumni: Tracing Methods Used by 19 Institutions.* Washington, DC: Council for Advancement and Support of Education, 1981. Based on data from a nationwide survey of large and small institutions. Includes sample postcards and questionnaires as well as articles on record-keeping from other sources; 30 pages.

Harris, April L. *Special Events: Planning for Success.* Washington, DC: Council for Advancement and Support of Education, 1988. This detailed workbook takes you step-by-step through one of the most complex tasks you are likely to face and tells you everything you need to know to carry off the big event successfully. The guidelines and checklists are valuable reminders of the many easy-to-forget details; 75 pages.

Heemann, P. Warren, ed. *Criteria for Evaluating Advancement Programs,* 2nd ed. Washington, DC: Council for Advancement and Support of Education, 1989. Developed by the CASE professional area advisory committees, the criteria can be used for internal or external audits. Lists questions for evaluating alumni relations, fund raising, government relations, institutional relations, periodicals, publications, student recruitment, and management; 26 pages.

Hesse, Robert R., and James D. Van Houten, eds. *Handbook for Emerging Alumni Programs.* Washington, DC: Confederation of Alumni Associations of the State University of New York. The basics of organizing the alumni association: constitution and bylaws, the governing board, committees, communications, record-keeping, annual giving, and phonathon solicitations; 170 pages.

Mitzel, David P., ed. *Resource Development in the Two-Year College.* Washington, DC: National Council for Resource Development, AACJC, 1988. Case studies of successful development programs in community colleges; 327 pages.

Murphy, Mary Kay. *Cultivating Foundation Support for Education.* Washington, DC: Council for Advancement and Support of Education, 1989. Grant makers and grant seekers explain how to understand a foundation's mission, research potential foundation matches, make the initial approach, develop a winning proposal, and administer a grant to create a lasting partnership; 210 pages.

Pray, Francis, ed. *Handbook for Educational Fund Raising.* San Francisco: Jossey-Bass, 1981. This is a collection of how-to's with management as a focus; 442 pages.

Quigg, H. Gerald. *The Successful Capital Campaign: From Planning to Victory Celebration.* Washington, DC: Council for Advancement and Support of Education, 1986. This is an invaluable tool for the campaign manager as well as others—presidents, trustees, staff, and volunteers—who have major respon-

sibilities in the capital campaign. It helps key players understand their role and how they can contribute to the success of the capital campaign effort; 188 pages.

Raley, Nancy, and Laura Carter, eds. *The New Guide to Effective Media Relations.* Washington, DC: Council for Advancement and Support of Education, 1988. Forty-five PR pros summarize formulas that work for them, share insights from their mistakes as well as their triumphs, and include formulas, checklists, examples, and ideas; 101 pages.

Reilley, Timothy A., ed. *Raising Money Through an Institutionally Related Foundation.* Washington, DC Council for Advancement and Support of Education, 1985. An in-depth look at how institutionally related foundations across the country are organized, controlled, staffed, financed, and operated. Chapters focus on unique considerations of the community college, health-related, or special-interest foundation; 83 pages.

Rowland, A. Westley, ed. *Handbook of Institutional Advancement,* 2nd ed. San Francisco: Jossey-Bass, 1986. With a foreword by James L. Fisher, this should be a cornerstone in the professional collection of any institutional advancement professional; the book covers management strategies, institutional relations, educational fund raising, alumni administration, government relations, constituent relations, periodicals, enrollment management, and other topics; 796 pages.

Rowland, A. Westley, comp. *Key Resources on Institutional Advancement: A Guide to the Field and Its Literature.* San Francisco: Jossey-Bass, 1986. An annotated bibliography on institutional advancement in higher education; 275 pages.

Sharron, W. Harvey, Jr. *The Community College Foundation.* Washington, DC: National Council for Resource Development, AACJC, 1982. Chapters contributed by community college practitioners cover organization, management, and strategies for private development in two-year colleges; 321 pages.

Strand, Bobbie J., and Susan Hunt, eds. *Prospect Research: A How-to Guide.* Washington, DC: Council for Advancement and Support of Education, 1986. The best solicitations occur when the right prospect is asked for the right gift by the right solicitor at the right time in the right way. Learn the "rights" through research. Grids, charts, and other research tools can help you uncover, process, and evaluate the raw information to identify potential donors; 150 pages.

Topor, Robert S. *Your Personal Guide to Marketing a Nonprofit Organization.* Washington, DC: Council for Advancement and Support of Education, 1988. This simple, skills-oriented workbook is written specifically for nonprofit organizations. It explains marketing principles; focuses attention on individ-

ual skills development; and shows the reader how to put marketing concepts into action; 153 pages.

Trent, Richard L., ed. *Public Relations in the Community College.* Washington, DC: Council for Advancement and Support of Education, 1981. This book covers the basics, including external and internal public relations, PR support services, alumni relations, photography and visual communication, printing and distribution, and managing the PR operation; 64 pages.

Van Houten, James. "Alumni Relations at Two-Year Institutions" in Charles H. Webb, ed., *Handbook for Alumni Administration.* New York: ACE/Macmillan Series on Higher Education, cosponsored by CASE, 1989. While alumni programming at two-year, nonresidential campuses has great potential, it is not easy to establish and sustain an alumni program on this type of campus. The author, in-house consultant on alumni administration and development for the 64 campuses of the State University of New York, considers the obstacles and suggests realistic approaches.

Graduate Degree Programs and Continuing Education Work

There are about a hundred graduate programs in higher education administration that provide some coursework in two-year institutions and/or development. Some provide specific, comprehensive programs. The choice should be based on an individual's needs, the faculty involved, and the kind of research available through the program. Some institutions have residence requirements, and some do not accept part-time students. A few programs have off-campus sites.

The Association for the Study of Higher Education, housed at Texas A&M University, coordinates a list of higher education graduate programs, some with specific work in advancement. Call (409) 845-0393 to ask for this list. A few of the larger programs are listed below. The Center on Philanthropy at IUPUI (Indiana University-Purdue University at Indianapolis) has listings of coursework in philanthropy and nonprofit management. Call (317) 274-4200 to receive a copy of these lists.

Florida State University
Institute for Studies in Higher Education
113 Stone Bldg.
Tallahassee, FL 32306
(904) 944-4706

Northern Arizona University
Community College Program
Center for Excellence in Education
NAU Box 5774
Flagstaff, AZ 86011
(602) 523-3639

University of California
Higher Education Specialization
Department of Education
405 Hilgard Ave.
Los Angeles, CA 90024
(213) 825-1340

University of Florida
Institute of Higher Education
Gainesville, FL 32611
(904) 392-0745

University of Texas
Community College Leadership Program
Education Building 348
Austin, TX 78712
(512) 471-7545

Vanderbilt University
George Peabody College
Department of Educational Leadership
Box 514
Nashville, TN 37203
(615) 322-8000

Professional Development

Most of the associations listed above have conference and institute programs for professional development. A call to them will usually produce a conference brochure.

CASE sponsors conferences and institutes in development. AACJC has specific sessions on development and marketing at its annual meeting, and it will soon have an institute. The Williamsburg Development Institute is an excellent summer activity for small groups and beginners. Call (804) 229-1000 for more information.

The Fund Raising School, a program of the Indiana University Center on Philanthropy, offers training in many cities across the U.S. Call (317) 274-4200 for a catalog.

Computers in Advancement

Even the small shop needs a computer for word-processing and record-keeping. PCs or access to the college mainframe is essential for any kind of planned solicitation to alumni or a large community. If there is no one on your staff who is computer-literate, one of your college's data-processing instructors may be able to help you determine which systems would work for your office. Vendors will send demonstrations and information packages. Colleagues at similar institutions can offer advice on what worked for them.

The *Chronicle of Higher Education* and the *Chronicle of Philanthropy* carry listings of new software for record-keeping and other functions in development work. Vendors often exhibit at education association meetings. The local small business association may be able to provide some free consultant help on this too.

CASE sponsors an institute on computers every summer in Boulder, Colorado, and CURRENTS has had several focus issues on computers.

EDUCOM is a national consortium that promotes management information technology in administration and instruction. It holds a large annual meeting at which many vendors exhibit. Call (609) 520-3340 for more information.

Software Sourcebook, which is updated twice a year, is a comprehensive directory of fund-raising software for colleges and universities and other nonprofit organizations. It's available from John Grenzebach and Associates. For more information, call (312) 372-4040.

ERIC Clearinghouse for
Junior Colleges FEB 9 1990